EDGAR® Form MA
XML Technical Specification

EDGAR®

Version 1.6   **September 2021**

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1 INTRODUCTION

1.1 Purpose

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

Table 1-1: Form MA Submission Types

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

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

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

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

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

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

1.2 Summary of Changes

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

Table 2-1: Form MA Schema Files

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

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

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

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

2.1 Schema Table Column Definitions

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

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

Table 2-2: Schema Language

Indicator	Purpose
<sequence>	Specifies that child elements must appear in a specific order. This indicator is used with each element hierarchy. Elements must always appear in the order shown in Section 3.4.

Indicator	Purpose
<choice>	Specifies that only one of the child elements can be present within the containing element.
<minOccurs>	Specifies the minimum number of times that an element can occur.
<maxOccurs>	Specifies the maximum number of times that an element can occur.

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

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

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

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

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

```xml
<com1:street1>123 MAIN STREET</com1:street1>
<com1:city>ANYWHERE</com1:city>
<com1:stateOrCountry>VA</com1:stateOrCountry>
```

3 XML SCHEMAS

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

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

3.1 Schema Table Column Definitions

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

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

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

3.2 Data Type Constraints

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

Data Type	Constraints
Boolean	Indicate a "true" value with either a "1" or the word "true." Indicate a "false" value with either a "0" or the word "false." A Boolean element may not have a null or blank value. This is a schema violation and will cause a SUSPENSE error.
date	Must be of the format 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.
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: For the < character use the escape sequence "<" or "<". For the > character use the escape sequence ">" or ">". For the & character use the escape sequence "&" or "&". For the " character use the escape sequence """ or """.
NV	These fields cannot have a value. They are parent element nodes that contain other XML elements. These elements need to be present for proper validation.
attr	Attribute property for an XML element.

3.3   Applicability of Schema Elements

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

Value	Description
m	Mandatory.
m#	Conditional Mandatory. The element is mandatory if its parent element is included. The element cannot be included if its parent is not included.
m#1	Conditional Mandatory. The element is mandatory if specific values are provided for other elements.
m#11	• For existing directBusinesses, directPersons, indirectBusinesses, and indirectPersons entries without changes within Schedule C, no 'type' element should be included. • The 'type' filed must be included for the directBusinesses, directPersons, indirectBusinesses and indirectPersons entries which are being added, edited, and/or deleted in the current submission.
m#2	This element is required for correct processing of the submission type.
o	Optional.
o#	Optional in the Schema. The value will be populated by EDGAR. Any value provided will be overwritten and a WARNING generated.
NA	Does not apply to submission type. EDGAR uses this field for server-side processing. Do not provide a value for this element.
blank	Does not apply to submission type.

3.4 Mapping of Form MA Submission Schemas to Submission Types

Mapping of Form MA and Variants Submission Schema to Submission Type

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

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

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
3	14	NV	additionalRegistrations				NA	NA	NA
4	1	NV	additionalRegistration			100	m	m	m
5	1	NV	nameAndRegistration				m	m	m
6	1	String	name	256			m	m	m
6	2	String	registrationId	256			m	m	m
3	15	NV	principalOfficeAddress			1	NA	NA	NA
4	1	NV	addressInfo			1	o	o	o
5	1	String	residentialAddressFlag		YES_NO_TYPE	1	o	o	o
5	2	NV	address			1	m	m	m
6	1	String	street1	40		1	m	m	m
6	2	String	street2	40		1	o	o	o
6	3	String	city	30		1	m	m	m
6	4	String	stateOrCountry		STATE_COUNTRY_CODE	1	m	m	m
6	5	String	zipCode	10		1	m	m	m
4	2	String	phoneNumber	20		1	m	m	m
4	3	String	faxNumber	20		1	o	o	o
3	16	NV	additionalOffices				NA	NA	NA
4	1	NV	additionalOffice			5	m#1	m#1	m#1
5	1	NV	addDeleteAmend				NA	NA	NA
6	1	String	add				m#1	m#1	m#1
6	2	String	delete				m#1	m#1	m#1
6	3	String	amend				m#1	m#1	m#1
6	4	String	newAdd				m#1	m#1	m#1
5	2	NV	officeInfo				NA	NA	NA
6	1	NV	addressInfo				NA	NA	NA
7	1	String	residentialAddressFlag		YES_NO_TYPE		m#1	m#1	m#1
7	2	NV	address				m#1	m#1	m#1
8	1	String	street1	40			m#1	m#1	m#1
8	2	String	street2	40			o	o	o
8	3	String	city	30			m#1	m#1	m#1
8	4	String	stateOrCountry		STATE_COUNTRY_CODE		m#1	m#1	m#1
8	5	String	zipCode	10			m#1	m#1	m#1
6	2	String	phoneNumber	20			m#1	m#1	m#1
6	3	String	faxNumber	20			o	o	o
3	17	String	mailingAddressDifferent		YES_NO_TYPE		m#1	m#1	m#1
3	18	NV	mailingAddress				m#1	m#1	m#1
4	1	String	residentialAddressFlag		YES_NO_TYPE		m#1	m#1	m#1
4	2	NV	address				m#1	m#1	m#1

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

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
5	3	String	lastName	50			m#1	m#1	m#1
5	4	String	suffix	10			o	o	o
4	2	NV	titles				NA	NA	NA
5	1	String	title	150		10	o	o	o
4	3	NV	address				NA	NA	NA
5	1	String	residentialAddressFlag		YES_NO_TYPE		m#1	m#1	m#1
5	2	NV	address				m#1	m#1	m#1
6	1	String	street1	40			m#1	m#1	m#1
6	2	String	street2	40			o	o	o
6	3	String	city	30			m#1	m#1	m#1
6	4	String	stateOrCountry		STATE_COUNTRY_CODE		m#1	m#1	m#1
6	5	String	zipCode	10			m#1	m#1	m#1
4	4	String	crdNumber	9			m#1	m#1	m#1
4	5	String	phoneNumber	20			m#1	m#1	m#1
4	6	String	faxNumber	20			o	o	o
4	7	String	email	80			o	o	o
3	23	NV	booksAndRecordsLocations				NA	NA	NA
4	1	NV	booksAndRecordsLocation			5	m	m	m
5	1	NV	type				m	m	m
6	1	String	add				m#1	m#1	m#1
6	2	String	delete				m#1	m#1	m#1
6	3	String	amend				m#1	m#1	m#1
6	4	String	newAdd				m#1	m#1	m#1
5	2	String	locationName	256			m#1	m#1	m#1
5	3	NV	contact				NA	NA	NA
6	1	NV	addressInfo				m#1	m#1	m#1
7	1	String	residentialAddressFlag		YES_NO_TYPE		m#1	m#1	m#1
7	2	NV	address				m#1	m#1	m#1
8	1	String	street1	40			m#1	m#1	m#1
8	2	String	street2	40			o	o	o
8	3	String	city	30			m#1	m#1	m#1
8	4	String	stateOrCountry		STATE_COUNTRY_CODE		m#1	m#1	m#1
8	5	String	zipCode	10			m#1	m#1	m#1
6	2	String	phoneNumber	20			m#1	m#1	m#1
6	3	String	faxNumber	20			o	o	o
5	4	NV	locationType				NA	NA	NA
6	1	String	branchOrAffiliate				NA	NA	NA
6	2	String	third-party				m#1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
6	3	String	other				m#1	m#1	m#1
5	5	String	description	256			m#1	m#1	m#1
3	24	NV	foreignRegulatoryAuthorityRegistrations				NA	NA	NA
4	1	NV	foreignRegulatoryAuthorityRegistration			100	m	m	m
5	1	NV	type				m#1	m#1	m#1
6	1	String	add				m#1	m#1	m#1
6	2	String	delete				m#1	m#1	m#1
6	3	String	amend				m#1	m#1	m#1
6	4	String	newAdd				m#1	m#1	m#1
5	2	String	englishFFRAName	256			m#1	m#1	m#1
5	3	String	foreignRegNumber	256			o	o	o
5	4	String	englishCountryName		NON_US_COUNTRY_CODES		m#1	m#1	m#1
3	25	NV	businessAffiliates				m#1	m#1	m#1
4	1	NV	businessAffiliate			100	m#1	m#1	m#1
5	1	String	affiliateName	256			m#1	m#1	m#1
5	2	String	hasApplicableRegistration		YES_NO_TYPE		m#1	m#1	m#1
5	3	NV	applicableRegistration				NA	NA	NA
6	1	String	issuingAgencyName	256			m#1	m#1	m#1
6	2	String	registrationNumber	256			o	o	o
6	3	NV	jurisdiction				m#1	m#1	m#1
7	1	String	US_Federal				m#1	m#1	m#1
7	2	String	US_State				m#1	m#1	m#1
7	3	String	ForeignCountry				m#1	m#1	m#1
3	26	NV	formOfOrganization				m#1	m#1	m#1
4	1	NV	formOrgType				m#1	m#1	m#1
5	1	NV	formOrgTypes				m#1	m#1	m#1
6	1	String	Corporation				m#1	m#1	m#1
6	2	String	Sole_Proprietorship				m#1	m#1	m#1
6	3	String	LLP				m#1	m#1	m#1
6	4	String	Partnership				m#1	m#1	m#1
6	5	String	LLC				m#1	m#1	m#1
6	6	String	LP				m#1	m#1	m#1
6	7	String	Other				m#1	m#1	m#1
4	2	String	formOrgOtherDescription	256			m#1	m#1	m#1
3	27	String	monthOfFiscalYearEnd		MONTH_TYPE		m#1	m#1	m#1
3	28	String	organizedJurisdiction				NA	NA	NA
4	1	String	stateOrCountry		STATE_COUNTRY_CODE		m#1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
3	29	String	dateOfOrganization	10			m	m	m
3	30	String	isPrcApplicant		YES_NO_TYPE		m	m	m
3	31	String	prcCIK	10			m#1	m#1	m#1
3	32	NV	successionInfo				m	m	m
4	1	String	dateOfSuccession	10			m#1	m#1	m#1
4	2	NV	successions			100	NA	NA	NA
5	1	NV	baseRegistrations				m#1	m#1	m#1
6	1	NV	maRegistration				m#1	m#1	m#1
7	1	String	fileNumber	17			m#1	m#1	m#1
6	2	NV	baseRegistrations				m#1	m#1	m#1
7	1	NV	msdRegistration			1	o	o	o
8	1	String	fileNumber	17		1	o	o	o
7	2	NV	bdRegistration			1	o	o	o
8	1	String	fileNumber	17		1	m	m	m
8	2	String	crdNumber	9		1	m	m	m
7	3	NV	iaRegistration			1	o	o	o
8	1	NV	nonExempt			1	m	m	m
9	1	NV	secRegistration			1	o	o	o
10	1	String	fileNumber	17			m#1	m#1	m#1
10	2	String	crdNumber	9			m#1	m#1	m#1
9	2	NV	stateRegistration			1	o	o	o
10	1	String	crdNumber	9		1	m	m	m
10	2	String	state		US_IAR_STATE_TYPE	53	m	m	m
8	2	NV	exemptAdvisor			1	m	m	m
9	1	String	fileNumber	17		1	m	m	m
9	2	String	crdNumber	9		1	m	m	m
7	4	NV	gsbdRegistration			1	o	o	o
8	1	String	fileNumber	17		1	m	m	m
8	2	String	bankId	256		1	o	o	o
7	5	NV	otherRegistration			1	o	o	o
8	1	String	description	256		1	m	m	m
8	2	String	fileNumber	17		1	o	o	o
8	3	String	cik	10		1	o	o	o
7	6	NV	anotherRegistration			1	o	o	o
8	1	String	description	256			m#1	m#1	m#1
8	2	String	registrationId	256			m#1	m#1	m#1
5	2	String	nameOfFirm	256			m#1	m#1	m#1
3	33	String	numberOfEmployees				m#1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
3	34	String	numberOfAdditionalWebSites	50			m#1	m#1	m#1
3	35	String	employeesEngagedInMAA	10			m#1	m#1	m#1
3	36	String	maaEmployeesRegBD	10			m#1	m#1	m#1
3	37	String	maaRegIA	10			m#1	m#1	m#1
3	38	String	numberOfSolicitingFirms	10			m#1	m#1	m#1
3	39	NV	solicitingMACFirms				m#1	m#1	m#1
4	1	NV	solicitingMACFirm			unbounded	m#1	m#1	m#1
5	1	String	name	256			m#1	m#1	m#1
5	2	String	cik	10			o	o	o
5	3	String	crd	9			m#1	m#1	m#1
5	4	NV	contactInfo				m#1	m#1	m#1
6	1	NV	addressInfo				m#1	m#1	m#1
7	1	String	residentialAddressFlag		YES_NO_TYPE		m#1	m#1	m#1
7	2	NV	address				m#1	m#1	m#1
8	1	String	street1	40			m#1	m#1	m#1
8	2	String	street2	40			o	o	o
8	3	String	city	30			m#1	m#1	m#1
8	4	String	stateOrCountry		STATE_COUNTRY_CODE		m#1	m#1	m#1
8	5	String	zipCode	10			m#1	m#1	m#1
6	2	String	phoneNumber	20			m#1	m#1	m#1
6	3	String	faxNumber	20			o	o	o
3	40	String	numberOfIndBusinessEmployees	10			m#1	m#1	m#1
3	41	NV	independentBusinessEmployees				m#1	m#1	m#1
4	1	NV	independentBusinessEmployee			100	m#1	m#1	m#1
5	1	NV	name				m#1	m#1	m#1
6	1	String	firstName	50			m#1	m#1	m#1
6	2	String	middleName	30			m#1	m#1	m#1
6	3	String	lastName	50			m#1	m#1	m#1
5	2	String	cik	10			o	o	o
5	3	String	crd	9			o	o	o
5	4	NV	contactInfo				m#1	m#1	m#1
6	1	NV	addressInfo				m#1	m#1	m#1
7	1	String	residentialAddressFlag		YES_NO_TYPE		m#1	m#1	m#1
7	2	NV	address				m#1	m#1	m#1
8	1	String	street1	40			m#1	m#1	m#1
8	2	String	street2	40			o	o	o
8	3	String	city	30			m#1	m#1	m#1
8	4	String	stateOrCountry		STATE_COUNTRY_CODE		m#1	m#1	m#1

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

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
5	1	String	isActivelyEngaged		YES_NO_TYPE		o	o	o
5	2	String	isPrimaryBusiness		YES_NO_TYPE		o	o	o
4	4	NV	commidityTA				o	o	o
5	1	String	isActivelyEngaged		YES_NO_TYPE		o	o	o
5	2	String	isPrimaryBusiness		YES_NO_TYPE		o	o	o
4	5	NV	futuresCommissionMerchant				o	o	o
5	1	String	isActivelyEngaged		YES_NO_TYPE		o	o	o
5	2	String	isPrimaryBusiness		YES_NO_TYPE		o	o	o
4	6	NV	majorSwapParticipant				o	o	o
5	1	String	isActivelyEngaged		YES_NO_TYPE		o	o	o
5	2	String	isPrimaryBusiness		YES_NO_TYPE		o	o	o
4	7	NV	majorSBSwapParticipant				o	o	o
5	1	String	isActivelyEngaged		YES_NO_TYPE		o	o	o
5	2	String	isPrimaryBusiness		YES_NO_TYPE		o	o	o
4	8	NV	swapDealers				o	o	o
5	1	String	isActivelyEngaged		YES_NO_TYPE		o	o	o
5	2	String	isPrimaryBusiness		YES_NO_TYPE		o	o	o
4	9	NV	swapDealersSecurityBased				o	o	o
5	1	String	isActivelyEngaged		YES_NO_TYPE		o	o	o
5	2	String	isPrimaryBusiness		YES_NO_TYPE		o	o	o
4	10	NV	trustCompany				o	o	o
5	1	String	isActivelyEngaged		YES_NO_TYPE		o	o	o
5	2	String	isPrimaryBusiness		YES_NO_TYPE		o	o	o
4	11	NV	realEstate				o	o	o
5	1	String	isActivelyEngaged		YES_NO_TYPE		o	o	o
5	2	String	isPrimaryBusiness		YES_NO_TYPE		o	o	o
4	12	NV	insurance				o	o	o
5	1	String	isActivelyEngaged		YES_NO_TYPE		o	o	o
5	2	String	isPrimaryBusiness		YES_NO_TYPE		o	o	o
4	13	NV	bankingThrift				o	o	o
5	1	String	isActivelyEngaged		YES_NO_TYPE		o	o	o
5	2	String	isPrimaryBusiness		YES_NO_TYPE		o	o	o
4	14	NV	investmentAdvisor				o	o	o
5	1	String	isActivelyEngaged		YES_NO_TYPE		o	o	o
5	2	String	isPrimaryBusiness		YES_NO_TYPE		o	o	o
4	15	NV	lawyers				o	o	o
5	1	NV	activelyEngagedPrimaryBusiness				o	o	o
6	1	String	isActivelyEngaged		YES_NO_TYPE		o	o	o
6	2	String	isPrimaryBusiness		YES_NO_TYPE		o	o	o

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
5	2	String	licensedJurisdictions	10000			o	o	o
4	16	NV	accounting				o	o	o
5	1	NV	activelyEngagedPrimaryBusiness				o	o	o
6	1	String	isActivelyEngaged		YES_NO_TYPE		o	o	o
6	2	String	isPrimaryBusiness		YES_NO_TYPE		o	o	o
5	2	String	licensedJurisdictions	10000			m#1	m#1	m#1
4	17	NV	engineering				o	o	o
5	1	String	isActivelyEngaged		YES_NO_TYPE		o	o	o
5	2	String	isPrimaryBusiness		YES_NO_TYPE		o	o	o
4	18	NV	otherFinancialProductAdvisor				o	o	o
5	1	NV	activelyEngagedPrimaryBusiness				o	o	o
6	1	String	isActivelyEngaged		YES_NO_TYPE		o	o	o
6	2	String	isPrimaryBusiness		YES_NO_TYPE		o	o	o
5	2	String	licensedJurisdictions	10000			o	o	o
3	53	String	isEngagedInOtherNonMAABusiness		YES_NO_TYPE		NA	NA	NA
3	54	String	otherNonMAABusinessPrimaryDescription	10000			o	o	o
3	55	NV	fiaAssociatedPersonsTypes				o	o	o
4	1	String	fiaAPTypes		FIA_ASSOCIATED_PERSON_TYPE	20	o	o	o
3	56	String	totalFIAAssociatedPersons	10			m#1	m#1	m#1
3	57	NV	fiaAssociatedPersons				NA	NA	NA
4	1	NV	fiaAssociatedPerson			unbounded	m#1	m#1	m#1
5	1	NV	type				m#1	m#1	m#1
6	1	String	add				m#1	m#1	m#1
6	2	String	delete				m#1	m#1	m#1
6	3	String	amend				m#1	m#1	m#1
6	4	String	newAdd				m#1	m#1	m#1
5	2	NV	apTypes				m#1	m#1	m#1
6	1	String	fiaAPTypes		FIA_ASSOCIATED_PERSON_TYPE	20	m#1	m#1	m#1
5	3	String	legalName	256			m#1	m#1	m#1
5	4	String	primaryBusinessName	256			m#1	m#1	m#1
5	5	NV	otherMunicipalAdviser				m	m	m
6	1	String	isControlOrControlled		YES_NO_TYPE		m#1	m#1	m#1
6	2	String	isUnderCommonControl		YES_NO_TYPE		m#1	m#1	m#1
6	3	String	isRegisteredWithFFRA		YES_NO_TYPE		m#1	m#1	m#1
6	4	NV	ffraRegistrations				m#1	m#1	m#1
7	1	NV	ffraRegistration			100	m#1	m#1	m#1
8	1	String	name				m#1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
8	2	String	registrationNum				o	o	o
8	3	String	country		NON_US_COUNTRY _CODES		m#1	m#1	m#1
3	58	NV	participationInterestMACT				m#1	m#1	m#1
4	1	String	mactBuySellFromClients		YES_NO_TYPE		m#1	m#1	m#1
4	2	String	mactBuySellRecommendToClients		YES_NO_TYPE		m#1	m#1	m#1
4	3	String	mactEnterDerivativesWithClients		YES_NO_TYPE		m#1	m#1	m#1
4	4	String	mactRecommendOwnedInterestTo Clients		YES_NO_TYPE		m#1	m#1	m#1
4	5	String	mactRecommendToClientsServing		YES_NO_TYPE		m#1	m#1	m#1
4	6	String	mactRecommendToClientsHavingO therSalesInterest		YES_NO_TYPE		m#1	m#1	m#1
4	7	String	mactDiscAuthBuySellAsMAA		YES_NO_TYPE		m#1	m#1	m#1
4	8	String	mactDiscAuthBuySell		YES_NO_TYPE		m#1	m#1	m#1
4	9	String	mactDiscAuthDetermineBrokerDeal er		YES_NO_TYPE		m#1	m#1	m#1
4	10	String	mactDiscAuthDetermineBrokerDeal erAreAP		YES_NO_TYPE		m#1	m#1	m#1
4	11	String	mactDiscAuthDetermineCommissio nToBrokerDealer		YES_NO_TYPE		m#1	m#1	m#1
4	12	String	mactRecommendBrokerDealerToCl ient		YES_NO_TYPE		m#1	m#1	m#1
4	13	String	mactRecommendBrokerDealerToCl ientAreAP		YES_NO_TYPE		m#1	m#1	m#1
4	14	String	mactCompensateForReferrals		YES_NO_TYPE		m#1	m#1	m#1
4	15	String	mactReceiveCompensationForRefe rrals		YES_NO_TYPE		m#1	m#1	m#1
3	59	NV	nonScheduleABCControllingPerson s				m#1	m#1	m#1
4	1	NV	nonScheduleABCControllingPerson			100	m#1	m#1	m#1
5	1	NV	type				m#1	m#1	m#1
6	1	String	add				m#1	m#1	m#1
6	2	String	delete				m#1	m#1	m#1
6	3	String	amend				m#1	m#1	m#1
6	4	String	newAdd				m#1	m#1	m#1
5	2	NV	nonScheduleABCControlPersonFir m				m#1	m#1	m#1
6	1	String	nameOfFirm	256			m#1	m#1	m#1
6	2	NV	maAdvisor				m#1	m#1	m#1
7	1	NV	ma				m#1	m#1	m#1
8	1	NV	regInfo				m#1	m#1	m#1
9	1	String	fileNumber	17			m#1	m#1	m#1
8	2	NV	dateInfo				m#1	m#1	m#1
9	1	String	effectiveDate	10			m#1	m#1	m#1
9	2	String	terminationDate	10			o	o	o
7	2	NV	maTregistration				m#1	m#1	m#1

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

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
9	2	String	terminationDate	10			o	o	o
6	6	NV	gsBrokerDealer				m#1	m#1	m#1
7	1	NV	regInfo				m#1	m#1	m#1
8	1	String	fileNumber	17			m#1	m#1	m#1
8	2	String	bankId	256			m#1	m#1	m#1
7	2	NV	dateInfo				m#1	m#1	m#1
8	1	String	effectiveDate	10			m#1	m#1	m#1
8	2	String	terminationDate	10			o	o	o
6	7	NV	otherReg				m#1	m#1	m#1
7	1	NV	regInfo				m#1	m#1	m#1
8	1	String	description	256			m#1	m#1	m#1
8	2	String	fileNumber	17			m#1	m#1	m#1
8	3	String	cik	10			m#1	m#1	m#1
7	2	NV	dateInfo				m#1	m#1	m#1
8	1	String	effectiveDate	10			m#1	m#1	m#1
8	2	String	terminationDate	10			o	o	o
6	8	NV	anotherReg				m#1	m#1	m#1
7	1	NV	regInfo				m#1	m#1	m#1
8	1	String	description	256			m#1	m#1	m#1
8	2	String	registrationId	256			m#1	m#1	m#1
7	2	NV	dateInfo				m#1	m#1	m#1
8	1	String	effectiveDate	10			m#1	m#1	m#1
8	2	String	terminationDate	10			o	o	o
5	3	NV	nonScheduleABCControlPersonNatural				m#1	m#1	m#1
6	1	NV	name				m#1	m#1	m#1
7	1	String	firstName	50			m#1	m#1	m#1
7	2	String	middleName	30			m#1	m#1	m#1
7	3	String	lastName	50			m#1	m#1	m#1
6	2	String	cik	10			m#1	m#1	m#1
6	3	String	crd	9			m#1	m#1	m#1
6	4	NV	dateInfo				m#1	m#1	m#1
7	1	String	effectiveDate	10			m#1	m#1	m#1
7	2	String	terminationDate	10			o	o	o
5	4	String	description	10000			m#1	m#1	m#1
5	5	NV	contact				m#1	m#1	m#1
6	1	NV	addressInfo				m#1	m#1	m#1
7	1	String	residentialAddressFlag		YES_NO_TYPE		m#1	m#1	m#1
7	2	NV	address				m#1	m#1	m#1
8	1	String	street1	40			m#1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
8	2	String	street2	40			m#1	m#1	m#1
8	3	String	city	30			m#1	m#1	m#1
8	4	String	stateOrCountry				m#1	m#1	m#1
8	5	String	zipCode	10			m#1	m#1	m#1
6	2	String	phoneNumber	20			m#1	m#1	m#1
	63	String	faxNumber	20			m#1	m#1	m#1
3	60	NV	section1215DPublicReportingCompanies				m#1	m#1	m#1
4	1	NV	section1215DPublicReportingCompany			200	m#1	m#1	m#1
4	1	String	name	256			m#1	m#1	m#1
4	2	String	cik	10			m#1	m#1	m#1
4	3	NV	reportingSchedules				m#1	m#1	m#1
5	1	NV	reportingSchedule		SECTION_12_15D_REPORTING_SCHEDULE	5	m#1	m#1	m#1
3	61	String	miscellaneous	10000			m#1	m#1	m#1
3	62	NV	disclosureAnswers				NA	NA	NA
4	1	NV	criminalDisclosure				NA	NA	NA
5	1	String	isConvictedOfFelony		YES_NO_TYPE		m	m	m
5	2	String	isChargedWithFelony		YES_NO_TYPE		m	m	m
5	3	String	isOrgConvictedOfFelony		YES_NO_TYPE		m	m	m
5	4	String	isOrgChargedWithFelony		YES_NO_TYPE		m	m	m
4	2	NV	regulatoryDisclosure				NA	NA	NA
5	1	String	isMadeFalseStatement		YES_NO_TYPE		m	m	m
5	2	String	isViolatedRegulation		YES_NO_TYPE		m	m	m
5	3	String	isCauseOfDenial		YES_NO_TYPE		m	m	m
5	4	String	isOrderAgainst		YES_NO_TYPE		m	m	m
5	5	String	isImposedPenalty		YES_NO_TYPE		m	m	m
5	6	String	isUnEthical		YES_NO_TYPE		m	m	m
5	7	String	isFoundInViolationOfRegulation		YES_NO_TYPE		m	m	m
5	8	String	isFoundInCauseOfDenial		YES_NO_TYPE		m	m	m
5	9	String	isOrderAgainstActivity		YES_NO_TYPE		m	m	m
5	10	String	isDeniedLicense		YES_NO_TYPE		m	m	m
5	11	String	isFoundMadeFalseStatement		YES_NO_TYPE		m	m	m
5	12	String	isFoundInViolationOfRules		YES_NO_TYPE		m	m	m
5	13	String	isFoundInCauseOfSuspension		YES_NO_TYPE		m	m	m
5	14	String	isDiscipliend		YES_NO_TYPE		m	m	m
5	15	String	isAuthorizedToActAttorney		YES_NO_TYPE		m	m	m
5	16	String	isRegulatoryComplaint		YES_NO_TYPE		m	m	m
4	3	NV	civilDisclosure				NA	NA	NA

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
5	1	String	isEnjoined		YES_NO_TYPE		m	m	m
5	2	String	isFoundInViolationOfRegulation		YES_NO_TYPE		m	m	m
5	3	String	isDismissed		YES_NO_TYPE		m	m	m
5	4	String	isNamedInCivilProceeding		YES_NO_TYPE		m	m	m
3	63	String	hasAnnualReceiptsLessThan7Million		YES_NO_TYPE		m	m	m
3	64	String	isAffiliatedWithReceiptsMoreThan7Million		YES_NO_TYPE		m	m	m
3	65	NV	scheduleA				m#	m#	m#
4	1	NV	businesses				m#1	m#1	m#1
5	1	NV	business			200	o	o	o
6	1	String	name	256			m#1	m#1	m#1
6	2	String	controPersonPR		YES_NO_TYPE		o	o	o
6	3	String	empIDNumber	256			m#1	m#1	m#1
6	4	String	deFeNp				o	o	o
7	1	String	de				m#1	m#1	m#1
7	2	String	fe				m#1	m#1	m#1
6	5	String	irsNum	10			m#1	m#1	m#1
6	6	NV	baseInformation				m#1	m#1	m#1
7	1	String	titleStatus	256			m#1	m#1	m#1
7	2	String	statusAcquired	10			m#1	m#1	m#1
7	3	String	ownershipCode		OWNERSHIP_CODE		m#1	m#1	m#1
7	4	String	isControPerson		YES_NO_TYPE		m#1	m#1	m#1
7	5	String	crdNumber	9			m#1	m#1	m#1
7	6	String	foreignBusIdNo	256			m#1	m#1	m#1
4	2	NV	persons				m#1	m#1	m#1
5	1	NV	person			200	m#1	m#1	m#1
6	1	NV	name				m#1	m#1	m#1
7	1	String	firstName	50			m#1	m#1	m#1
7	2	String	middleName	30			m#1	m#1	m#1
7	3	String	lastName	50			m#1	m#1	m#1
6	4	NV	baseInformation				m#1	m#1	m#1
7	1	String	titleStatus	256			m#1	m#1	m#1
7	2	String	statusAcquired	10			m#1	m#1	m#1
7	3	String	ownershipCode		OWNERSHIP_CODE		m#1	m#1	m#1
7	4	String	isControPerson		YES_NO_TYPE		m#1	m#1	m#1
7	5	String	crdNumber	9			m#1	m#1	m#1
3	66	NV	scheduleB				m#1	m#1	m#1
4	1	NV	businesses				NA	NA	NA
5	5	NV	business			200	NA	NA	NA

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
6	1	String	owningEntity	256			m#1	m#1	m#1
6	2	NV	baseInfo				m#1	m#1	m#1
6	1	String	name	256			m#1	m#1	m#1
6	2	String	controPersonPR		YES_NO_TYPE		o	o	o
6	3	String	empIDNumber	256			m#1	m#1	m#1
6	4	String	deFeNp				m#1	m#1	m#1
7	1	String	de				m#1	m#1	m#1
7	2	String	fe				m#1	m#1	m#1
6	5	String	irsNum	10			m#1	m#1	m#1
6	6	NV	baseInformation				m#1	m#1	m#1
7	1	String	titleStatus	256			m#1	m#1	m#1
7	2	String	statusAcquired	10			m#1	m#1	m#1
7	3	String	ownershipCode		OWNERSHIP_CODE		m#1	m#1	m#1
7	4	String	isControPerson		YES_NO_TYPE		m#1	m#1	m#1
7	5	String	crdNumber	9			m#1	m#1	m#1
7	6	String	foreignBusIdNo	256			o	o	o
4	2	NV	persons				m#1	m#1	m#1
5	1	NV	person			200	m#1	m#1	m#1
6	1	String	owningEntity	256			m#1	m#1	m#1
6	2	NV	baseInfo				m#1	m#1	m#1
6	1	NV	name				m#1	m#1	m#1
7	1	String	firstName	50			m#1	m#1	m#1
7	2	String	middleName	30			m#1	m#1	m#1
7	3	String	lastName	50			m#1	m#1	m#1
6	4	NV	baseInformation				m#1	m#1	m#1
7	1	String	titleStatus	256			m#1	m#1	m#1
7	2	String	statusAcquired	10			m#1	m#1	m#1
7	3	String	ownershipCode		OWNERSHIP_CODE		m#1	m#1	m#1
7	4	String	isControPerson		YES_NO_TYPE		m#1	m#1	m#1
7	5	String	crdNumber	9			m#1	m#1	m#1
3	67	NV	scheduleC				o	o	o
4	1	NV	directBusinesses				m#1	m#1	m#1
5	1	NV	business			200	m#1	m#1	m#1
6	1	NV	type				m#11	m#11	m#11
7	1	String	add				m#1	m#1	m#1
7	2	String	delete				m#1	m#1	m#1
7	3	String	amend				m#1	m#1	m#1
7	4	String	newAdd				m#1	m#1	m#1
6	2	NV	baseInformation				m#1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
7	1	String	name	256			m#1	m#1	m#1
7	2	String	controPersonPR		YES_NO_TYPE		m#1	m#1	m#1
7	3	String	empIDNumber	256			m#1	m#1	m#1
7	4	String	deFeNp				m#1	m#1	m#1
8	1	String	de				m#1	m#1	m#1
8	2	String	fe				m#1	m#1	m#1
7	5	String	irsNum	10			m#1	m#1	m#1
7	6	NV	baseInformation				m#1	m#1	m#1
8	1	String	titleStatus	256			m#1	m#1	m#1
8	2	String	statusAcquired	10			m#1	m#1	m#1
8	3	String	ownershipCode		OWNERSHIP_CODE		m#1	m#1	m#1
8	4	String	isControPerson		YES_NO_TYPE		m#1	m#1	m#1
8	5	String	crdNumber	9			m#1	m#1	m#1
8	6	String	foreignBusIdNo	256			o	o	o
4	2	NV	directPersons				m#1	m#1	m#1
5	1	NV	person			200	m#1	m#1	m#1
6	1	NV	type				m#11	m#11	m#11
7	1	String	add				m#1	m#1	m#1
7	2	String	delete				m#1	m#1	m#1
7	3	String	amend				m#1	m#1	m#1
7	4	String	newAdd				m#1	m#1	m#1
6	2	NV	baseInformation				m#1	m#1	m#1
6	1	NV	name				m#1	m#1	m#1
7	1	String	firstName	50			m#1	m#1	m#1
7	2	String	middleName	30			m#1	m#1	m#1
7	3	String	lastName	50			m#1	m#1	m#1
6	4	NV	baseInformation				m#1	m#1	m#1
7	1	String	titleStatus	256			m#1	m#1	m#1
7	2	String	statusAcquired	10			m#1	m#1	m#1
7	3	String	ownershipCode		OWNERSHIP_CODE		m#1	m#1	m#1
7	4	String	isControPerson		YES_NO_TYPE		m#1	m#1	m#1
7	5	String	crdNumber	9			m#1	m#1	m#1
4	3	NV	indirectBusinesses				o	o	o
5	1	NV	business			200	o	o	o
6	1	NV	type				m#11	m#11	m#11
7	1	String	add				m#1	m#1	m#1
7	2	String	delete				m#1	m#1	m#1
7	3	String	amend				m#1	m#1	m#1
7	4	String	newAdd				m#1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
6	2	NV	baseInformation				m#1	m#1	m#1
7	1	String	owningEntity	256			m#1	m#1	m#1
7	2	NV	baseInfo				m#1	m#1	m#1
6	1	String	name	256			m#1	m#1	m#1
6	2	String	controPersonPR		YES_NO_TYPE		m#1	m#1	m#1
6	3	String	empIDNumber	256			m#1	m#1	m#1
6	4	String	deFeNp				m#1	m#1	m#1
7	1	String	de				m#1	m#1	m#1
7	2	String	fe				m#1	m#1	m#1
6	5	String	irsNum	10			m#1	m#1	m#1
6	6	NV	baseInformation				m#1	m#1	m#1
7	1	String	titleStatus	256			m#1	m#1	m#1
7	2	String	statusAcquired	10			m#1	m#1	m#1
7	3	String	ownershipCode		OWNERSHIP_CODE		m#1	m#1	m#1
7	4	String	isControPerson		YES_NO_TYPE		m#1	m#1	m#1
7	5	String	crdNumber	9			m#1	m#1	m#1
7	6	String	foreignBusIdNo	256			o	o	o
4	4	NV	indirectPersons				m#1	m#1	m#1
5	1	NV	person			200	m#1	m#1	m#1
6	1	NV	type				m#11	m#11	m#11
7	1	String	add				m#1	m#1	m#1
7	2	String	delete				m#1	m#1	m#1
7	3	String	amend				m#1	m#1	m#1
7	4	String	newAdd				m#1	m#1	m#1
6	2	NV	baseInformation				m#1	m#1	m#1
7	1	String	owningEntity	256			m#1	m#1	m#1
7	2	NV	baseInfo				m#1	m#1	m#1
6	1	NV	name				m#1	m#1	m#1
7	1	String	firstName	50			m#1	m#1	m#1
7	2	String	middleName	30			m#1	m#1	m#1
7	3	String	lastName	50			m#1	m#1	m#1
6	4	NV	baseInformation				m#1	m#1	m#1
7	1	String	titleStatus	256			m#1	m#1	m#1
7	2	String	statusAcquired	10			m#1	m#1	m#1
7	3	String	ownershipCode		OWNERSHIP_CODE		m#1	m#1	m#1
7	4	String	isControPerson		YES_NO_TYPE		m#1	m#1	m#1
7	5	String	crdNumber	9			m#1	m#1	m#1
3	68	NV	drpInfo				m#1	m#1	m#1
4	1	NV	criminalDisclosure			1	m#1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
5	1	NV	criminalDrp			1000	m#1	m#1	m#1
6	1	NV	headerData			1	m#1	m#1	m#1
7	1	NV	baseHeader			1	m#1	m#1	m#1
8	1	NV	type			1	m#1	m#1	m#1
9	1	String	add			1	m#1	m#1	m#1
9	2	String	amend			1	m#1	m#1	m#1
8	2	String	apDrpFiledCount	10		1	m#1	m#1	m#1
8	3	NV	drpFor			1	m#1	m#1	m#1
9	1	String	applicant			1	m#1	m#1	m#1
9	2	String	applicantAndAP			1	m#1	m#1	m#1
9	3	String	ap			1	m#1	m#1	m#1
7	2	NV	respondingTo			1	m#1	m#1	m#1
8	1	String	responseQuestion		CRIMINAL_RESPON DING_TO_TYPE	4	m#1	m#1	m#1
6	2	NV	applicantInfo			1	m#1	m#1	m#1
7	1	NV	drpInfo			1	m#1	m#1	m#1
8	1	NV	filedDisclosure			1	m#1	m#1	m#1
9	1	NV	advBDU4Filing			1	m#1	m#1	m#1
10	1	String	name	256		1	m#1	m#1	m#1
10	2	String	crdNumber	9		1	o	o	o
10	3	String	disclosureNumber	256		1	m#1	m#1	m#1
9	2	NV	maFiling			1	m#1	m#1	m#1
10	1	String	name	256		1	m#1	m#1	m#1
10	2	String	regNumber	17		1	m#1	m#1	m#1
10	3	String	drpDate	10		1	m#1	m#1	m#1
10	4	String	accessionNumber	20		1	m#1	m#1	m#1
9	3	NV	matFiling			1	m#1	m#1	m#1
10	1	String	name	256		1	m#1	m#1	m#1
10	2	String	regNumber	17		1	m#1	m#1	m#1
10	3	String	date	10		1	m#1	m#1	m#1
9	4	NV	maiFiling			1	m#1	m#1	m#1
10	1	String	name	256		1	m#1	m#1	m#1
10	2	String	regNumber	17		1	m#1	m#1	m#1
10	3	String	drpDate	10		1	m#1	m#1	m#1
10	4	String	accessionNumber	20		1	m#1	m#1	m#1
8	2	NV	detailedDisclosure			1	m#1	m#1	m#1
9	1	NV	eventDRP			1	m#1	m#1	m#1
10	1	NV	event			1	m#1	m#1	m#1
11	1	String	chargesBroughtAgainstControlled		YES_NO_TYPE	1	m#1	m#1	m#1
11	2	NV	chargedControlInfo			1	m#1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
12	1	String	name	256		1	m#1	m#1	m#1
12	2	String	isEngagedInMARBusiness		YES_NO_TYPE	1	m#1	m#1	m#1
12	3	String	relationshipToCharged	10000		1	m#1	m#1	m#1
11	3	String	hasFelonyCharges		YES_NO_TYPE	1	m#1	m#1	m#1
11	4	NV	court			1	m#1	m#1	m#1
12	1	NV	criminalCourt			1	m#1	m#1	m#1
13	1	String	fedCourt			1	m#1	m#1	m#1
13	2	String	milCourt			1	m#1	m#1	m#1
13	3	String	stateCourt			1	m#1	m#1	m#1
13	4	String	foreignCourt			1	m#1	m#1	m#1
13	5	String	intnlCourt			1	m#1	m#1	m#1
13	6	String	other			1	m#1	m#1	m#1
12	2	String	other	256		1	m#1	m#1	m#1
11	5	NV	dateFirstCharged			1	m#1	m#1	m#1
12	1	String	date	10		1	m#1	m#1	m#1
12	2	String	exact			1	m#1	m#1	m#1
12	3	NV	explanationInfo			1	m#1	m#1	m#1
13	1	String	explanation			1	m#1	m#1	m#1
13	2	String	provideExplanation	10000		1	m#1	m#1	m#1
11	6	NV	actionAppealedTo			1	m#1	m#1	m#1
12	1	String	date	10		1	m#1	m#1	m#1
12	2	NV	appealedTo			1	m#1	m#1	m#1
13	1	NV	criminalCourt			1	m#1	m#1	m#1
14	1	String	fedCourt			1	m#1	m#1	m#1
14	2	String	milCourt			1	m#1	m#1	m#1
14	3	String	stateCourt			1	m#1	m#1	m#1
14	4	String	foreignCourt			1	m#1	m#1	m#1
14	5	String	intnlCourt			1	m#1	m#1	m#1
14	6	String	other			1	m#1	m#1	m#1
13	2	String	other	256		1	m#1	m#1	m#1
12	3	String	appealedToCourtName	256		1	m#1	m#1	m#1
11	7	NV	statusDateInfo			1	m#1	m#1	m#1
12	1	String	date	10		1	m#1	m#1	m#1
12	2	String	exact			1	m#1	m#1	m#1
12	3	NV	explanationInfo			1	m#1	m#1	m#1
13	1	String	explanation			1	m#1	m#1	m#1
13	2	String	provideExplanation	3000		1	m#1	m#1	m#1
11	8	NV	baseInformation			1	m#1	m#1	m#1
12	1	NV	chargesBroughtIn			1	m#1	m#1	m#1

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

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
15	3	String	years			1	m#1	m#1	m#1
14	2	NV	startDate			1	m#1	m#1	m#1
15	1	String	date	10		1	m#1	m#1	m#1
15	2	String	notDetermined			1	m#1	m#1	m#1
14	3	NV	endDate			1	m#1	m#1	m#1
15	1	String	date	10		1	m#1	m#1	m#1
15	2	String	notDetermined			1	m#1	m#1	m#1
14	4	String	concurrentEndDate	10		1	m#1	m#1	m#1
14	5	String	explanation	3000		1	m#1	m#1	m#1
13	5	NV	monetaryPenalty			1	m#1	m#1	m#1
14	1	Decimal	totalFine	16		1	m#1	m#1	m#1
14	2	Decimal	reducedAmount	16		1	m#1	m#1	m#1
14	3	NV	paidStatus			1	m#1	m#1	m#1
15	1	String	paidInFullDate	10		1	m#1	m#1	m#1
15	2	NV	notPaidInfo			1	m#1	m#1	m#1
16	1	Decimal	amountUNPAID	16		1	m#1	m#1	m#1
16	2	String	explanation	3000		1	m#1	m#1	m#1
14	4	Decimal	finalAmount	16		1	m#1	m#1	m#1
7	2	NV	drpRemoveReason			1	m#1	m#1	m#1
8	1	String	isRegistered			1	m#1	m#1	m#1
8	2	NV	isFiledError			1	m#1	m#1	m#1
9	1	String	explainTheCircumstances	1000		1	m#1	m#1	m#1
8	3	NV	isOlderThan10Years			1	m#1	m#1	m#1
9	1	String	explainTheCircumstances	1000		1	m#1	m#1	m#1
6	3	NV	apInfo			1	m#1	m#1	m#1
7	1	NV	associatedPerson			500	m#1	m#1	m#1
8	1	NV	apType			1	m#1	m#1	m#1
9	1	String	firmInfo	256		1	m#1	m#1	m#1
9	2	NV	naturalPersonInfo			1	m#1	m#1	m#1
10	1	String	firstName	50		1	m#1	m#1	m#1
10	2	String	middleName	30		1	m#1	m#1	m#1
10	3	String	lastName	50		1	m#1	m#1	m#1
10	4	String	suffix	10		1	o	o	o
8	2	NV	registrationInfo			1	m#1	m#1	m#1
9	1	String	isSECRegistered		YES_NO_TYPE	1	m#1	m#1	m#1
9	2	String	secRegistrationNumber	150		1	m#1	m#1	m#1
9	3	String	crdNumber	9		1	o	o	o
8	3	NV	drpRemovalInformation			1	m#1	m#1	m#1
9	1	String	apNotAssociated			1	m#1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
9	2	String	eventResolved			1	m#1	m#1	m#1
9	3	String	eventOccurTenYearsAgo			1	m#1	m#1	m#1
9	4	NV	isFiledError			1	m#1	m#1	m#1
10	1	String	explainTheCircumstances	1000		1	m#1	m#1	m#1
9	5	NV	isORDERTHAN10YEARS			1	m#1	m#1	m#1
10	1	String	explainTheCircumstances	1000		1	m#1	m#1	m#1
8	4	NV	drpInfo			1	m#1	m#1	m#1
9	1	NV	filedDisclosure			1	m#1	m#1	m#1
10	1	NV	advBDU4Filing			1	m#1	m#1	m#1
11	1	String	name	256		1	m#1	m#1	m#1
11	2	String	crdNumber	9		1	o	o	o
11	3	String	disclosureNumber	256		1	m#1	m#1	m#1
10	2	NV	maFiling			1	m#1	m#1	m#1
11	1	String	name	256		1	m#1	m#1	m#1
11	2	String	regNumber	17		1	m#1	m#1	m#1
11	3	String	drpDate	10		1	m#1	m#1	m#1
11	4	String	accessionNumber	20		1	m#1	m#1	m#1
10	3	NV	matFiling			1	m#1	m#1	m#1
11	1	String	name	256		1	m#1	m#1	m#1
11	2	String	regNumber	17		1	m#1	m#1	m#1
11	3	String	date	10		1	m#1	m#1	m#1
10	4	NV	maiFiling			1	m#1	m#1	m#1
11	1	String	name	256		1	m#1	m#1	m#1
11	2	String	regNumber	17		1	m#1	m#1	m#1
11	3	String	drpDate	10		1	m#1	m#1	m#1
11	4	String	accessionNumber	20		1	m#1	m#1	m#1
9	2	NV	detailedDisclosure			1	m#1	m#1	m#1
10	1	NV	eventDRP			1	m#1	m#1	m#1
11	1	NV	event			1	m#1	m#1	m#1
12	1	String	chargesBroughtAgainstControlled		YES_NO_TYPE	1	m#1	m#1	m#1
12	2	NV	chargedControlInfo			1	m#1	m#1	m#1
13	1	String	name	256		1	m#1	m#1	m#1
13	2	String	isEngagedInMARBusiness		YES_NO_TYPE	1	m#1	m#1	m#1
13	3	String	relationshipToCharged	10000		1	m#1	m#1	m#1
12	3	String	hasFelonyCharges		YES_NO_TYPE	1	m#1	m#1	m#1
12	4	NV	court			1	m#1	m#1	m#1
13	1	NV	criminalCourt			1	m#1	m#1	m#1
14	1	String	fedCourt			1	m#1	m#1	m#1
14	2	String	milCourt			1	m#1	m#1	m#1

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

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

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
14	5	NV	monetaryPenalty			1	m#1	m#1	m#1
15	1	Decimal	totalFine	16		1	m#1	m#1	m#1
15	2	Decimal	reducedAmount	16		1	m#1	m#1	m#1
15	3	NV	paidStatus			1	m#1	m#1	m#1
16	1	String	paidInFullDate	10		1	m#1	m#1	m#1
16	2	NV	notPaidInfo			1	m#1	m#1	m#1
17	1	Decimal	amountUNPAID	16		1	m#1	m#1	m#1
17	2	String	explanation	3000		1	m#1	m#1	m#1
15	4	Decimal	finalAmount	16		1	m#1	m#1	m#1
4	2	NV	regulatoryDisclosure			1	m#1	m#1	m#1
5	1	NV	regulatoryDrp			1000	m#1	m#1	m#1
6	1	NV	headerData			1	m#1	m#1	m#1
7	1	NV	baseHeader			1	m#1	m#1	m#1
8	1	NV	type			1	m#1	m#1	m#1
9	1	String	add			1	m#1	m#1	m#1
9	2	String	amend			1	m#1	m#1	m#1
8	2	String	apDrpFiledCount	10		1	m#1	m#1	m#1
8	3	NV	drpFor			1	m#1	m#1	m#1
9	1	String	applicant			1	m#1	m#1	m#1
9	2	String	applicantAndAP			1	m#1	m#1	m#1
9	3	String	ap			1	m#1	m#1	m#1
7	2	NV	respondingTo			1	m#1	m#1	m#1
8	1	String	responseQuestion		REGULATORY_RESPONDING_TO_TYPE	16	m#1	m#1	m#1
6	2	NV	applicantInfo			1	m#1	m#1	m#1
7	1	NV	drpInfo			1	m#1	m#1	m#1
8	1	NV	filedDisclosure			1	m#1	m#1	m#1
9	1	NV	advBDU4Filing			1	m#1	m#1	m#1
10	1	String	name	256		1	m#1	m#1	m#1
10	2	String	crdNumber	9		1	o	o	o
10	3	String	disclosureNumber	256		1	m#1	m#1	m#1
9	2	NV	maFiling			1	m#1	m#1	m#1
10	1	String	name	256		1	m#1	m#1	m#1
10	2	String	regNumber	17		1	m#1	m#1	m#1
10	3	String	drpDate	10		1	m#1	m#1	m#1
10	4	String	accessionNumber	20		1	m#1	m#1	m#1
9	3	NV	matFiling			1	m#1	m#1	m#1
10	1	String	name	256		1	m#1	m#1	m#1
10	2	String	regNumber	17		1	m#1	m#1	m#1
10	3	String	date	10		1	m#1	m#1	m#1

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

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
12	4	String	sro			1	m#1	m#1	m#1
12	5	String	foreignFRA			1	m#1	m#1	m#1
12	6	String	cftc			1	m#1	m#1	m#1
12	7	String	federalBankingAgency			1	m#1	m#1	m#1
12	8	String	nationalCUAdmin			1	m#1	m#1	m#1
12	9	String	other			1	m#1	m#1	m#1
11	2	String	other	256		1	m#1	m#1	m#1
11	3	String	name	256		1	m#1	m#1	m#1
10	5	NV	sanctionsSought			1	m#1	m#1	m#1
11	1	String	sanction		SANCTION_BASE_TYPE, PRINCIPAL_SANCTION_RELIEF_BASE	18	m#1	m#1	m#1
11	2	String	otherSanctions	10000		1	m#1	m#1	m#1
10	6	NV	principalProductTypes			1	m#1	m#1	m#1
11	1	String	product		PRINCIPAL_PRODUCT_OPTION_TYPE, PRINCIPAL_PRODUCT_TYPE_EXTENDED	1	m#1	m#1	m#1
11	2	String	productOther	256		1	m#1	m#1	m#1
10	7	String	otherProductTypes	1000		1	m#1	m#1	m#1
10	8	String	allegationsDescription	10000		1	m#1	m#1	m#1
10	9	NV	pendingInformation			1	m#1	m#1	m#1
11	1	NV	servedInformation			1	m#1	m#1	m#1
12	1	String	date	10		1	m#1	m#1	m#1
12	2	String	exact			1	m#1	m#1	m#1
12	3	NV	explanationInfo			1	m#1	m#1	m#1
13	1	String	explanation			1	m#1	m#1	m#1
13	2	String	provideExplanation	10000		1	m#1	m#1	m#1
11	2	String	limitationsRestrictions	1000		1	m#1	m#1	m#1
10	10	NV	appealInformation			1	m#1	m#1	m#1
11	1	NV	appealBroughtInInformation			1	m#1	m#1	m#1
12	1	String	name	256		1	m#1	m#1	m#1
12	2	String	docketOrCaseNo	256		1	m#1	m#1	m#1
12	3	NV	address			1	m#1	m#1	m#1
13	1	String	street1	40		1	m#1	m#1	m#1
13	2	String	street2	40		1	o	o	o
13	3	String	city	30		1	m#1	m#1	m#1
13	4	String	stateOrCountry		STATE_COUNTRY_CODE	1	m#1	m#1	m#1
13	5	String	zipCode	10		1	m#1	m#1	m#1
11	2	String	docketName	256		1	m#1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
11	3	NV	dateInformation			1	m#1	m#1	m#1
12	1	String	date	10		1	m#1	m#1	m#1
12	2	String	exact			1	m#1	m#1	m#1
12	3	NV	explanationInfo			1	m#1	m#1	m#1
13	1	String	explanation			1	m#1	m#1	m#1
13	2	String	provideExplanation	1000		1	m#1	m#1	m#1
11	4	String	details	10000		1	m#1	m#1	m#1
11	5	String	limitationsRestrictions	1000		1	m#1	m#1	m#1
10	11	NV	resolutionInformation			1	m#1	m#1	m#1
11	1	NV	date			1	m#1	m#1	m#1
12	1	String	date	10		1	m#1	m#1	m#1
12	2	String	exact			1	m#1	m#1	m#1
12	3	NV	explanationInfo			1	m#1	m#1	m#1
13	1	String	explanation			1	m#1	m#1	m#1
13	2	String	provideExplanation	3000		1	m#1	m#1	m#1
11	2	NV	types			1	m#1	m#1	m#1
12	1	String	judgement		REGULATORY_RESOLUTION_TYPE	12	m#1	m#1	m#1
12	2	String	judgementOther	3000		1	m#1	m#1	m#1
12	3	String	appealJudgement		APPEAL_TYPES, APPEAL_EXTENDED_TYPE	5	m#1	m#1	m#1
12	4	String	appealJudgementOther	1000		1	m#1	m#1	m#1
12	5	String	explanation	10000		1	m#1	m#1	m#1
12	6	String	isFinalOrder		YES_NO_TYPE	1	m#1	m#1	m#1
11	3	NV	details			1	m#1	m#1	m#1
12	1	String	sanctionsOrdered		YES_NO_TYPE	1	m#1	m#1	m#1
12	2	NV	sanctions			1	m#1	m#1	m#1
13	1	String	sanction		SANCTION_BASE_TYPE, PRINCIPAL_SANCTION_RELIEF_BASE	18	m#1	m#1	m#1
13	2	String	otherSanctions	10000		1	m#1	m#1	m#1
12	3	NV	sanctionDetails			1	m#1	m#1	m#1
13	1	NV	barred			unbounded	m#1	m#1	m#1
14	1	NV	duration			1	m#1	m#1	m#1
15	1	NV	durationType			1	m#1	m#1	m#1
16	1	String	permanent			1	m#1	m#1	m#1
16	2	String	noTimeSpecified			1	m#1	m#1	m#1
16	3	NV	limited			1	m#1	m#1	m#1
17	1	String	limited			1	m#1	m#1	m#1
17	2	NV	durationTime			1	m#1	m#1	m#1

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

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

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

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

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

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
13	2	String	docketOrCaseNo	256		1	m#1	m#1	m#1
13	3	NV	address			1	m#1	m#1	m#1
14	1	String	street1	40		1	m#1	m#1	m#1
14	2	String	street2	40		1	o	o	o
14	3	String	city	30		1	m#1	m#1	m#1
14	4	String	stateOrCountry		STATE_COUNTRY_CODE	1	m#1	m#1	m#1
14	5	String	zipCode	10		1	m#1	m#1	m#1
12	2	String	docketName	256		1	m#1	m#1	m#1
12	3	NV	dateInformation			1	m#1	m#1	m#1
13	1	String	date	10		1	m#1	m#1	m#1
13	2	String	exact			1	m#1	m#1	m#1
13	3	NV	explanationInfo			1	m#1	m#1	m#1
14	1	String	explanation			1	m#1	m#1	m#1
14	2	String	provideExplanation	1000		1	m#1	m#1	m#1
12	4	String	details	10000		1	m#1	m#1	m#1
12	5	String	limitationsRestrictions	1000		1	m#1	m#1	m#1
11	11	NV	resolutionInformation			1	m#1	m#1	m#1
12	1	NV	date			1	m#1	m#1	m#1
13	1	String	date	10		1	m#1	m#1	m#1
13	2	String	exact			1	m#1	m#1	m#1
13	3	NV	explanationInfo			1	m#1	m#1	m#1
14	1	String	explanation			1	m#1	m#1	m#1
14	2	String	provideExplanation	3000		1	m#1	m#1	m#1
12	2	NV	types			1	m#1	m#1	m#1
13	1	String	judgement		REGULATORY_RESOLUTION_TYPE,	12	m#1	m#1	m#1
13	2	String	judgementOther	3000		1	m#1	m#1	m#1
13	3	String	appealJudgement		APPEAL_TYPES, APPEAL_EXTENDED_TYPE	5	m#1	m#1	m#1
13	4	String	appealJudgementOther	1000		1	m#1	m#1	m#1
13	5	String	explanation	10000		1	m#1	m#1	m#1
13	6	String	isFinalOrder		YES_NO_TYPE	1	m#1	m#1	m#1
12	3	NV	details			1	m#1	m#1	m#1
13	1	String	sanctionsOrdered		YES_NO_TYPE	1	m#1	m#1	m#1
13	2	NV	sanctions			1	m#1	m#1	m#1
13	1	String	sanction		SANCTION_BASE_TYPE, PRINCIPAL_SANCTION_RELIEF_BASE	18	m#1	m#1	m#1
14	2	String	otherSanctions	10000		1	m#1	m#1	m#1
13	3	NV	sanctionDetails			1	m#1	m#1	m#1

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

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
17	1	String	explanation			1	m#1	m#1	m#1
17	2	String	provideExplanation	1000		1	m#1	m#1	m#1
15	3	NV	endDate			1	m#1	m#1	m#1
16	1	String	date	10		1	m#1	m#1	m#1
16	2	String	exact			1	m#1	m#1	m#1
16	3	NV	explanationInfo			1	m#1	m#1	m#1
17	1	String	explanation			1	m#1	m#1	m#1
17	2	String	provideExplanation	1000		1	m#1	m#1	m#1
14	4	String	description	10000		1	m#1	m#1	m#1
14	3	NV	suspended			unbounded	m#1	m#1	m#1
15	1	NV	duration			1	m#1	m#1	m#1
16	1	NV	durationType			1	m#1	m#1	m#1
17	1	String	permanent			1	m#1	m#1	m#1
17	2	String	noTimeSpecified			1	m#1	m#1	m#1
17	3	NV	limited			1	m#1	m#1	m#1
18	1	String	limited			1	m#1	m#1	m#1
18	2	NV	durationTime			1	m#1	m#1	m#1
19	1	String	days			1	m#1	m#1	m#1
19	2	String	months			1	m#1	m#1	m#1
19	3	String	years			1	m#1	m#1	m#1
15	2	NV	startDate			1	m#1	m#1	m#1
16	1	String	date	10		1	m#1	m#1	m#1
16	2	String	exact			1	m#1	m#1	m#1
16	3	NV	explanationInfo			1	m#1	m#1	m#1
17	1	String	explanation			1	m#1	m#1	m#1
17	2	String	provideExplanation	1000		1	m#1	m#1	m#1
15	3	NV	endDate			1	m#1	m#1	m#1
16	1	String	date	10		1	m#1	m#1	m#1
16	2	String	exact			1	m#1	m#1	m#1
16	3	NV	explanationInfo			1	m#1	m#1	m#1
17	1	String	explanation			1	m#1	m#1	m#1
17	2	String	provideExplanation	1000		1	m#1	m#1	m#1
15	4	String	description	10000		1	m#1	m#1	m#1
14	4	String	isReqaulificationRequired		YES_NO_TYPE	1	m#1	m#1	m#1
14	5	NV	requalificationDetails			undounded	NA	NA	NA
15	1	NV	timeToReqaulifyRetrain			1	m#1	m#1	m#1
16	1	NV	durationType			1	m#1	m#1	m#1
17	1	String	permanent			1	m#1	m#1	m#1
17	2	String	noTimeSpecified			1	m#1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
17	3	String	limited			1	m#1	m#1	m#1
18	1	String	limited			1	m#1	m#1	m#1
18	2	NV	durationTime			1	m#1	m#1	m#1
19	1	String	days			1	m#1	m#1	m#1
19	2	String	month			1	m#1	m#1	m#1
19	3	String	years			1	m#1	m#1	m#1
15	2	String	typeRequired	1000		1	m#1	m#1	m#1
15	3	NV	conditionState			1	m#1	m#1	m#1
16	1	String	satisfied	10		1	m#1	m#1	m#1
16	2	String	notSatisfied	10000		1	m#1	m#1	m#1
14	6	NV	monetarySanctions			1	m#1	m#1	m#1
15	1	Decimal	amountOrdered	16		1	m#1	m#1	m#1
15	2	Decimal	waivedPortion	16		1	m#1	m#1	m#1
15	3	Decimal	finalAmount	18		1	m#1	m#1	m#1
15	4	NV	paymentState			1	NA	NA	NA
16	1	String	satisfied	10		1	m#1	m#1	m#1
16	2	String	notSatisfied	3000		1	m#1	m#1	m#1
13	4	Decimal	totalAmountOrdered	16		1	m#1	m#1	m#1
4	3	NV	civilJudicialDisclosure			1	NA	NA	NA
5	1	NV	civilJudicialDrp			1000	NA	NA	NA
6	1	NV	headerData			1	NA	NA	NA
7	1	NV	baseHeader			1	NA	NA	NA
8	1	NV	type			1	NA	NA	NA
9	1	String	add			1	m#1	m#1	m#1
9	2	String	amend			1	m#1	m#1	m#1
8	2	String	apDrpFiledCount	10		1	m#1	m#1	m#1
8	3	NV	drpFor			1	m#1	m#1	m#1
9	1	String	applicant			1	m#1	m#1	m#1
9	2	String	applicantAndAP			1	m#1	m#1	m#1
9	3	String	ap			1	m#1	m#1	m#1
7	2	NV	respondingTo			1	m#1	m#1	m#1
8	1	String	responseQuestion		CIVIL_JUDICIAL_RESPONDING_TO_TYPE	1	m#1	m#1	m#1
6	2	NV	applicantInfo			1	m#1	m#1	m#1
7	1	NV	drpInfo			1	m#1	m#1	m#1
8	1	NV	filedDisclosre			1	m#1	m#1	m#1
10	1	NV	advBDU4Filing			1	m#1	m#1	m#1
11	1	String	name	256		1	m#1	m#1	m#1
11	2	String	crdNumber	9		1	o	o	o

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

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
10	1	String	initiator		CIVIL_JUDICIAL_AC TION_INITIATED_BY _TYPE	1	m#1	m#1	m#1
10	2	String	other	256		1	m#1	m#1	m#1
9	4	NV	plantiffsInformation			1	m#1	m#1	m#1
10	1	String	plantiffName	3000		1	m#1	m#1	m#1
10	2	String	isMissingPlantiffs		YES_NO_TYPE	1	m#1	m#1	m#1
9	5	NV	defendantInformation			1	m#1	m#1	m#1
10	1	String	defendantName	1000		1	m#1	m#1	m#1
10	2	String	isADefendant		YES_NO_TYPE	1	m#1	m#1	m#1
10	3	String	involementInformation	256		1	m#1	m#1	m#1
9	6	NV	sanctionsReliefSought			1	m#1	m#1	m#1
10	1	String	sanctionRelief		,	21	m#1	m#1	m#1
11	1	String	SANCTION_TYPE		SANCTION_BASE_T YPE, PRINCIPAL_SANCTI ON_RELIEF_BASE	1	m#1	m#1	m#1
11	2	String	CIVIL_JUDICIAL_SANCTIONS_TY PE		CIVIL_JUDICIAL_SA NCTIONS_TYPE	1	m#1	m#1	m#1
10	2	String	other	10000		1	m#1	m#1	m#1
9	7	NV	notificationServedInformation			1	m#1	m#1	m#1
10	1	String	date	10		1	m#1	m#1	m#1
10	2	String	exact			1	m#1	m#1	m#1
10	3	NV	explanationInfo			1	m#1	m#1	m#1
11	1	String	explanation			1	m#1	m#1	m#1
11	2	String	provideExplanation	10000		1	m#1	m#1	m#1
9	8	NV	courtBroughIn			1	m#1	m#1	m#1
10	1	NV	civilJudicialCourt			1	m#1	m#1	m#1
11	1	String	fedCourt			1	m#1	m#1	m#1
11	2	String	milCourt			1	m#1	m#1	m#1
11	3	String	stateCourt			1	m#1	m#1	m#1
11	4	String	foreignCourt			1	m#1	m#1	m#1
11	5	String	intnlCourt			1	m#1	m#1	m#1
11	6	String	other			1	m#1	m#1	m#1
10	2	String	other	256		1	m#1	m#1	m#1
9	9	NV	principalProductTypes			1	m#1	m#1	m#1
10	1	String	product		PRINCIPAL_PRODU CT_OPTION_TYPE, PRINCIPAL_PRODU CT_TYPE_EXTENDE D	35	m#1	m#1	m#1
10	2	String	productOther	256		1	m#1	m#1	m#1
9	10	String	otherProductTypes	1000		1	m#1	m#1	m#1
9	11	String	allegationsDescription	10000		1	m#1	m#1	m#1

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

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
11	3	String	appealJudgement		APPEAL_TYPES, APPEAL_EXTENDED_TYPE	5	m#1	m#1	m#1
11	4	String	appealJudgementOther	1000		1	m#1	m#1	m#1
11	5	String	explanation	10000		1	m#1	m#1	m#1
11	6	String	isFinalOrder		YES_NO_TYPE	1	m#1	m#1	m#1
10	3	NV	details			1	m#1	m#1	m#1
11	1	String	sanctionsOrdered		YES_NO_TYPE	1	m#1	m#1	m#1
11	2	NV	sanctions			1	m#1	m#1	m#1
12	1	String	sanctionRelief		,	21	m#1	m#1	m#1
13	1	String	SANCTION_TYPE		SANCTION_BASE_TYPE, PRINCIPAL_SANCTION_RELIEF_BASE	1	m#1	m#1	m#1
13	2	String	CIVIL_JUDICIAL_SANCTIONS_TYPE		CIVIL_JUDICIAL_SANCTIONS_TYPE	1	m#1	m#1	m#1
12	2	String	other	10000		1	m#1	m#1	m#1
11	3	NV	sanctionDetails			1	m#1	m#1	m#1
12	1	NV	barred			1	m#1	m#1	m#1
13	1	NV	duration			1	m#1	m#1	m#1
14	1	String	durationType			1	m#1	m#1	m#1
15	1	String	permanent			1	m#1	m#1	m#1
15	2	String	noTimeSpecified			1	m#1	m#1	m#1
15	3	NV	limited			1	m#1	m#1	m#1
16	1	String	limited			1	m#1	m#1	m#1
16	2	String	durationTime			1	m#1	m#1	m#1
17	1	String	days			1	m#1	m#1	m#1
17	2	String	months			1	m#1	m#1	m#1
17	3	String	years			1	m#1	m#1	m#1
13	2	String	startDate			1	m#1	m#1	m#1
14	1	String	date	10		1	m#1	m#1	m#1
14	2	String	exact			1	m#1	m#1	m#1
14	3	NV	explanationInfo			1	m#1	m#1	m#1
15	1	String	explanation			1	m#1	m#1	m#1
15	2	String	provideExplanation	1000		1	m#1	m#1	m#1
13	3	String	endDate			1	m#1	m#1	m#1
14	1	String	date	10		1	m#1	m#1	m#1
14	2	String	exact			1	m#1	m#1	m#1
14	3	NV	explanationInfo			1	m#1	m#1	m#1
15	1	String	explanation			1	m#1	m#1	m#1
15	2	String	provideExplanation	1000		1	m#1	m#1	m#1
13	4	String	description	10000		1	m#1	m#1	m#1

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

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
15	1	String	explanation			1	m#1	m#1	m#1
15	2	String	provideExplanation	1000		1	m#1	m#1	m#1
13	3	String	endDate			1	m#1	m#1	m#1
14	1	String	date	10		1	m#1	m#1	m#1
14	2	String	exact			1	m#1	m#1	m#1
14	3	NV	explanationInfo			1	m#1	m#1	m#1
15	1	String	explanation			1	m#1	m#1	m#1
15	2	String	provideExplanation	1000		1	m#1	m#1	m#1
13	4	String	description	10000		1	m#1	m#1	m#1
12	4	String	isReqaulificationRequired		YES_NO_TYPE	1	m#1	m#1	m#1
12	5	NV	requalificationDetails			1	m#1	m#1	m#1
13	1	NV	timeToReqaulifyRetrain			1	m#1	m#1	m#1
14	1	NV	durationType			1	m#1	m#1	m#1
15	1	String	permanent			1	m#1	m#1	m#1
15	2	String	noTimeSpecified			1	m#1	m#1	m#1
15	3	NV	limited			1	m#1	m#1	m#1
16	1	String	limited			1	m#1	m#1	m#1
16	2	NV	durationTime			1	m#1	m#1	m#1
17	1	String	days			1	m#1	m#1	m#1
17	2	String	months			1	m#1	m#1	m#1
17	3	String	years			1	m#1	m#1	m#1
13	2	String	typeRequired	1000		1	m#1	m#1	m#1
13	3	NV	conditionState			1	m#1	m#1	m#1
14	1	String	satisfied			1	m#1	m#1	m#1
14	2	String	notSatisfied	10000		1	m#1	m#1	m#1
12	6	NV	monetarySanctions			1	m#1	m#1	m#1
13	1	Decimal	amountOrdered	16		1	m#1	m#1	m#1
13	2	Decimal	waivedPortion	16		1	m#1	m#1	m#1
13	3	Decimal	finalAmount	18		1	m#1	m#1	m#1
13	4	NV	paymentState			1	m#1	m#1	m#1
14	1	String	satisfied			1	m#1	m#1	m#1
14	2	String	notSatisfied	10000		1	m#1	m#1	m#1
11	4	Decimal	totalAmountOrdered	16		1	m#1	m#1	m#1
7	2	NV	drpRemoveReason			1	m#1	m#1	m#1
8	1	String	isRegistered			1	m#1	m#1	m#1
8	2	NV	isFiledError			1	m#1	m#1	m#1
9	1	String	explainTheCircumstances	1000		1	m#1	m#1	m#1
8	3	NV	isOlderThan10Years			1	m#1	m#1	m#1
9	1	String	explainTheCircumstances	1000		1	m#1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
6	3	NV	apInfo			1	m#1	m#1	m#1
7	1	NV	associatedPerson			500	NA	NA	NA
8	1	NV	apType			1	m#1	m#1	m#1
9	1	String	firmInfo	256		1	m#1	m#1	m#1
9	2	NV	naturalPersonInfo			1	m#1	m#1	m#1
10	1	String	firstName	50		1	m#1	m#1	m#1
10	2	String	middleName	30		1	o	o	o
10	3	String	lastName	50		1	m#1	m#1	m#1
10	4	String	suffix	10		1	o	o	o
8	2	NV	registrationInfo			1	m#1	m#1	m#1
9	1	String	isSECRegistered		YES_NO_TYPE	1	m#1	m#1	m#1
9	2	String	secRegistrationNumber	150		1	m#1	m#1	m#1
9	3	String	crdNumber	9		1	o	o	o
8	3	NV	drpRemovalInformation			1	m#1	m#1	m#1
9	1	String	apNotAssociated			1	m#1	m#1	m#1
9	2	String	eventResolved			1	m#1	m#1	m#1
9	3	String	eventOccurTenYearsAgo			1	m#1	m#1	m#1
9	4	NV	isFiledError			1	m#1	m#1	m#1
9	5	String	isORDERTHAN10YEARS			1	m#1	m#1	m#1
10	1	String	explainTheCircumstances	10000		1	m#1	m#1	m#1
8	4	NV	drpInfo			1	m#1	m#1	m#1
9	1	NV	filedDisclosre			1	m#1	m#1	m#1
11	1	NV	advBDU4Filing			1	m#1	m#1	m#1
12	1	String	name	256		1	m#1	m#1	m#1
12	2	String	crdNumber	9		1	o	o	o
12	3	String	disclosureNumber	256		1	m#1	m#1	m#1
11	2	NV	maFiling			1	m#1	m#1	m#1
12	1	String	name	256		1	m#1	m#1	m#1
12	2	String	regNumber	17		1	m#1	m#1	m#1
12	3	String	drpDate	10		1	m#1	m#1	m#1
12	4	String	accessionNumber	20		1	m#1	m#1	m#1
11	3	NV	matFiling			1	m#1	m#1	m#1
12	1	String	name	256		1	m#1	m#1	m#1
12	2	String	regNumber	17		1	m#1	m#1	m#1
12	3	String	date	10		1	m#1	m#1	m#1
11	4	NV	maiFiling			1	m#1	m#1	m#1
12	1	String	name	256		1	m#1	m#1	m#1
12	2	String	regNumber	17		1	m#1	m#1	m#1
12	3	String	drpDate	10		1	m#1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
12	4	String	accessionNumber	20		1	m#1	m#1	m#1
9	2	NV	detailedDisclosure			1	m#1	m#1	m#1
10	1	NV	baseInformation			1	m#1	m#1	m#1
11	1	NV	chargesBroughtIn			1	m#1	m#1	m#1
12	1	String	name	256		1	m#1	m#1	m#1
12	2	String	docketOrCaseNo	256		1	m#1	m#1	m#1
12	3	NV	address			1	m#1	m#1	m#1
13	1	String	street1	40		1	m#1	m#1	m#1
13	2	String	street2	40		1	o	o	o
13	3	String	city	30		1	m#1	m#1	m#1
13	4	String	stateOrCountry		STATE_COUNTRY_CODE	1	m#1	m#1	m#1
13	5	String	zipCode	10		1	m#1	m#1	m#1
11	2	NV	status			1	m#1	m#1	m#1
12	1	String	pending			1	m#1	m#1	m#1
12	2	String	onAppeal			1	m#1	m#1	m#1
12	3	String	final			1	m#1	m#1	m#1
11	3	String	summary	10000		1	m#1	m#1	m#1
10	2	NV	statusDateInfo			1	m#1	m#1	m#1
11	1	String	date	10		1	m#1	m#1	m#1
11	2	String	exact			1	m#1	m#1	m#1
11	3	NV	explanationInfo			1	m#1	m#1	m#1
12	1	String	explanation			1	m#1	m#1	m#1
12	2	String	provideExplanation	10000		1	m#1	m#1	m#1
10	3	NV	initiatedBy			1	m#1	m#1	m#1
11	1	String	initiator		CIVIL_JUDICIAL_ACTION_INITIATED_BY_TYPE	1	m#1	m#1	m#1
11	2	String	other	256		1	m#1	m#1	m#1
10	4	NV	plantiffsInformation			1	m#1	m#1	m#1
11	1	String	plantiffName	3000		1	m#1	m#1	m#1
11	2	String	isMissingPlantiffs		YES_NO_TYPE	1	m#1	m#1	m#1
10	5	NV	defendantInformation			1	NA	NA	NA
11	1	String	defendantName	1000		1	m#1	m#1	m#1
11	2	String	isADefendant		YES_NO_TYPE	1	m#1	m#1	m#1
11	3	String	involementInformation	256		1	m#1	m#1	m#1
10	6	NV	sanctionsReliefSought			1	m#1	m#1	m#1
11	1	String	sanctionRelief		,	21	m#1	m#1	m#1
12	1	String	SANCTION_TYPE		SANCTION_BASE_TYPE, PRINCIPAL_SANCTION_RELIEF_BASE	1	m#1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
12	2	String	CIVIL_JUDICIAL_SANCTIONS_TYPE		CIVIL_JUDICIAL_SANCTIONS_TYPE	1	m#1	m#1	m#1
11	2	String	other	10000		1	m#1	m#1	m#1
10	7	NV	notificationServedInformation			1	m#1	m#1	m#1
11	1	String	date	10		1	m#1	m#1	m#1
11	2	String	exact			1	m#1	m#1	m#1
11	3	NV	explanationInfo			1	m#1	m#1	m#1
12	1	String	explanation			1	m#1	m#1	m#1
12	2	String	provideExplanation	10000		1	m#1	m#1	m#1
10	8	NV	courtBroughIn			1	m#1	m#1	m#1
11	1	NV	civilJudicialCourt			1	m#1	m#1	m#1
12	1	String	fedCourt			1	m#1	m#1	m#1
12	2	String	milCourt			1	m#1	m#1	m#1
12	3	String	stateCourt			1	m#1	m#1	m#1
12	4	String	foreignCourt			1	m#1	m#1	m#1
12	5	String	intnlCourt			1	m#1	m#1	m#1
12	6	String	other			1	m#1	m#1	m#1
11	2	String	other	256		1	m#1	m#1	m#1
10	9	NV	principalProductTypes			1	m#1	m#1	m#1
11	1	String	product		PRINCIPAL_PRODUCT_OPTION_TYPE, PRINCIPAL_PRODUCT_TYPE_EXTENDED	35	m#1	m#1	m#1
11	2	String	productOther	256		1	m#1	m#1	m#1
10	10	String	otherProductTypes	1000		1	m#1	m#1	m#1
10	11	String	allegationsDescription	10000		1	m#1	m#1	m#1
10	12	NV	pendingInformation			1	m#1	m#1	m#1
11	1	NV	servedInformation			1	m#1	m#1	m#1
12	1	String	date	10		1	m#1	m#1	m#1
12	2	String	exact			1	m#1	m#1	m#1
12	3	NV	explanationInfo			1	m#1	m#1	m#1
13	1	String	explanation			1	m#1	m#1	m#1
13	2	String	provideExplanation	10000		1	m#1	m#1	m#1
11	2	String	limitationsRestrictions	3000		1	m#1	m#1	m#1
10	13	NV	appealInformation			1	m#1	m#1	m#1
11	1	NV	appealBroughtInInformation			1	m#1	m#1	m#1
12	1	String	name	256		1	m#1	m#1	m#1
12	2	String	docketOrCaseNo	256		1	m#1	m#1	m#1
12	3	NV	address			1	m#1	m#1	m#1
13	1	String	street1	40		1	m#1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
13	2	String	street2	40		1	o	o	o
13	3	String	city	30		1	m#1	m#1	m#1
13	4	String	stateOrCountry		STATE_COUNTRY_CODE	1	m#1	m#1	m#1
13	5	String	zipCode	10		1	m#1	m#1	m#1
11	2	String	docketName	256		1	m#1	m#1	m#1
11	3	NV	dateInformation			1	m#1	m#1	m#1
12	1	String	date	10		1	m#1	m#1	m#1
12	2	String	exact			1	m#1	m#1	m#1
12	3	NV	explanationInfo			1	m#1	m#1	m#1
13	1	String	explanation			1	m#1	m#1	m#1
13	2	String	provideExplanation	3000		1	m#1	m#1	m#1
11	4	String	details	10000		1	m#1	m#1	m#1
11	5	String	limitationsRestrictions	1000		1	m#1	m#1	m#1
10	14	NV	resolutionInformation			1	m#1	m#1	m#1
11	1	NV	date			1	m#1	m#1	m#1
11	1	String	date	10		1	m#1	m#1	m#1
11	2	String	exact			1	m#1	m#1	m#1
11	3	NV	explanationInfo			1	m#1	m#1	m#1
12	1	String	explanation			1	m#1	m#1	m#1
12	2	String	provideExplanation	10000		1	m#1	m#1	m#1
11	2	NV	types			1	m#1	m#1	m#1
12	1	String	judgement		REGULATORY_RESOLUTION_TYPE, CIVIL_JUDICIAL_RESOLUTION_TYPE	12	m#1	m#1	m#1
12	2	String	judgementOther	1000		1	m#1	m#1	m#1
12	3	String	appealJudgement		APPEAL_TYPES, APPEAL_EXTENDED_TYPE	5	m#1	m#1	m#1
12	4	String	appealJudgementOther	1000		1	m#1	m#1	m#1
12	5	String	explanation	10000		1	m#1	m#1	m#1
12	6	String	isFinalOrder		YES_NO_TYPE	1	m#1	m#1	m#1
11	3	NV	details			1	m#1	m#1	m#1
12	1	String	sanctionsOrdered		YES_NO_TYPE	1	m#1	m#1	m#1
12	2	NV	sanctions			1	m#1	m#1	m#1
13	1	String	sanctionRelief		,	1	m#1	m#1	m#1
14	1	NV	SANCTION_TYPE		SANCTION_BASE_TYPE, PRINCIPAL_SANCTION_RELIEF_BASE	1	m#1	m#1	m#1
14	2	String	CIVIL_JUDICIAL_SANCTIONS_TYPE		CIVIL_JUDICIAL_SANCTIONS_TYPE	1	m#1	m#1	m#1
13	2	String	other	10000		1	m#1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
12	3	NV	sanctionDetails			1	m#1	m#1	m#1
13	1	String	barred			1	m#1	m#1	m#1
14	1	String	duration			1	m#1	m#1	m#1
15	1	String	durationType			1	m#1	m#1	m#1
16	1	String	permanent			1	m#1	m#1	m#1
16	2	String	noTimeSpecified			1	m#1	m#1	m#1
16	3	NV	limited			1	m#1	m#1	m#1
17	1	String	limited			1	m#1	m#1	m#1
17	2	NV	durationTime			1	m#1	m#1	m#1
18	1	String	days			1	m#1	m#1	m#1
18	2	String	months			1	m#1	m#1	m#1
18	3	String	years			1	m#1	m#1	m#1
14	2	String	startDate			1	m#1	m#1	m#1
14	1	String	date	10		1	m#1	m#1	m#1
14	2	String	exact			1	m#1	m#1	m#1
14	3	NV	explanationInfo			1	m#1	m#1	m#1
15	1	String	explanation			1	m#1	m#1	m#1
15	2	String	provideExplanation	1000		1	m#1	m#1	m#1
14	3	String	endDate			1	m#1	m#1	m#1
14	4	String	description			1	m#1	m#1	m#1
13	2	String	enjoined			unbounded	m#1	m#1	m#1
14	1	String	duration			1	m#1	m#1	m#1
15	1	String	durationType			1	m#1	m#1	m#1
16	1	String	permanent			1	m#1	m#1	m#1
16	2	String	noTimeSpecified			1	m#1	m#1	m#1
16	3	NV	limited			1	m#1	m#1	m#1
17	1	String	limited			1	m#1	m#1	m#1
17	2	String	durationTime			1	m#1	m#1	m#1
18	1	String	days			1	m#1	m#1	m#1
18	2	String	months			1	m#1	m#1	m#1
18	3	String	years			1	m#1	m#1	m#1
14	2	String	startDate			1	m#1	m#1	m#1
14	1	String	date	10		1	m#1	m#1	m#1
14	2	String	exact			1	m#1	m#1	m#1
14	3	NV	explanationInfo			1	m#1	m#1	m#1
15	1	String	explanation			1	m#1	m#1	m#1
15	2	String	provideExplanation	1000		1	m#1	m#1	m#1
14	3	String	endDate			1	m#1	m#1	m#1
14	1	String	date	10		1	m#1	m#1	m#1

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

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
18	2	String	months			1	m#1	m#1	m#1
18	3	String	years			1	m#1	m#1	m#1
14	2	String	typeRequired	1000		1	m#1	m#1	m#1
14	3	NV	conditionState			1	m#1	m#1	m#1
15	1	String	satisfied			1	m#1	m#1	m#1
15	2	String	notSatisfied	10000		1	m#1	m#1	m#1
13	6	String	monetarySanctions			1	m#1	m#1	m#1
14	1	Decimal	amountOrdered			1	m#1	m#1	m#1
14	2	Decimal	waivedPortion	16		1	m#1	m#1	m#1
14	3	Decimal	finalAmount	16		1	m#1	m#1	m#1
14	4	NV	paymentState	16		1	m#1	m#1	m#1
15	1	String	satisfied			1	m#1	m#1	m#1
15	2	String	notSatisfied	3000		1	m#1	m#1	m#1
12	4	Decimal	totalAmountOrdered	16		1	m#1	m#1	m#1
3	70	NV	scheduleD				m#1	m#1	m#1
4	1	NV	type				m#1	m#1	m#1
5	1	String	add				m#1	m#1	m#1
5	2	String	delete				m#1	m#1	m#1
5	3	String	amend				m#1	m#1	m#1
5	4	String	newAdd				m#1	m#1	m#1
4	2	String	misc	1000			m#1	m#1	m#1
3	71	NV	maSelfCertification				m#1	m#1	m#1
4	1	NV	signature				m	m	m
5	1	String	signature	150			m	m	m
5	2	String	signerName	150			m	m	m
5	3	String	title	150			m	m	m
5	4	String	date	10			m	m	m
4	2	String	crdNumber	9			o	o	o
3	72	NV	maExecutionPage				m	m	m
4	1	NV	signature				m	m	m
5	1	String	signature	150			m	m	m
5	2	String	signerName	150			m	m	m
5	3	String	title	150			m	m	m
5	4	String	date	10			m	m	m
4	2	String	crdNumber	9					
3	73		maNRSelfCertification				m	m	m
4	1	NV	signature				m	m	m
5	1	String	signature	150			m	m	m
5	2	String	signerName	150			m	m	m

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
5	3	String	title	150			m	m	m
5	4	String	date	10			m	m	m
4	2	String	crdNumber	9			o	o	o
3	74	NV	maNRExecutionPage						
4	1	NV	signature				m	m	m
5	1	String	signature	150			m	m	m
5	2	String	signerName	150			m	m	m
5	3	String	title	150			m	m	m
5	4	String	date	10			m	m	m
4	2	String	crdNumber	9			o	o	o
3	75	NV	documents			1	m	m	m
4	1	String	conformedName	32		1	m	m	m
4	2	String	conformedDocumentType			1	m	m	m
4	3	String	description	255		1	m#1	m#1	m#1
4	4	String	contents			1	m#1	m#1	m#1
3	76	NV	controls				m#1	m#1	m#1
4	1	String	isSolePropietor		YES_NO_TYPE		m#1	m#1	m#1
4	2	String	hasNameChange		YES_NO_TYPE		m#1	m#1	m#1
4	3	String	hasDBAName		YES_NO_TYPE		m#1	m#1	m#1
4	4	String	hasPreviousDBAName		YES_NO_TYPE		m#1	m#1	m#1
4	5	String	hasAdditionalDBANames		YES_NO_TYPE		m#1	m#1	m#1
4	6	String	hasMATReg		YES_NO_TYPE		m#1	m#1	m#1
4	7	String	additionalRegs		YES_NO_TYPE		m#1	m#1	m#1
4	8	String	additionalOffices		YES_NO_TYPE		m#1	m#1	m#1
4	9	String	hasMailingAddress		YES_NO_TYPE		m#1	m#1	m#1
4	10	String	hasAdditionalWebsites		YES_NO_TYPE		m#1	m#1	m#1
4	11	String	hasBooksRecords		YES_NO_TYPE		m#1	m#1	m#1
4	12	String	isRegisteredFFRA		YES_NO_TYPE		m#1	m#1	m#1
4	13	String	isAffiliatedOtherBus		YES_NO_TYPE		m#1	m#1	m#1
4	14	String	independentBusinessEmployee		YES_NO_TYPE		m#1	m#1	m#1
4	15	String	receiveCompensationForMAAFromOtherClients		YES_NO_TYPE		m#1	m#1	m#1
4	16	String	isSucceedingApplicant		YES_NO_TYPE		m#1	m#1	m#1
4	17	String	isCPForApplicantPolicy		YES_NO_TYPE		m#1	m#1	m#1
4	18	String	isPRCompanyUnder1215		YES_NO_TYPE		m#1	m#1	m#1
4	19	String	isCPForFirm		YES_NO_TYPE		m#1	m#1	m#1
4	20	String	hasOtherProductTypes		YES_NO_TYPE		m#1	m#1	m#1
4	21	String	wasSanctionsOrdered		YES_NO_TYPE		m#1	m#1	m#1
4	22	String	moneytarySanctions		YES_NO_TYPE		m#1	m#1	m#1
4	23	String	hasScheduleB		YES_NO_TYPE		m#1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA	MA-A	MA/A
4	24	String	isSection12Or15ReportingCompany		YES_NO_TYPE		m#1	m#1	m#1
4	25	String	isOtherNonMAABuisinesssPrimary		YES_NO_TYPE		m#1	m#1	m#1

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

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

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA-I	MA-I/A
1	1	NV	edgarSubmission			1	m	m
2	1	String	schemaVersion	5		1	o	o
2	2	NV	headerData			1	m	m
3	1	String	submissionType		SUBMISSION_TYPE	1	m	m
3	2	NV	filerInfo			1	m	m
4	1	String	liveTestFlag			1	NA	NA
4	2	NV	filer			1	m	m
5	1	String	filerId	10		1	m	m
5	2	String	filerCcc	8		1	m	m
5	3	String	filerFileNumber	17		1	o	o
4	3	NV	contact			1	o	o
5	1	String	name	30		1	o	o
5	2	String	phoneNumber	20		1	o	o
4	4	String	contactEmail	80		1	m	m
4	5	NV	notifications			1	o	o
5	1	String	internetNotificationAddress	80		unbounded	m	m
2	3	NV	formData			1	m	m
3	1	String	isAmendment		YES_NO_TYPE	1	m	m
3	2	String	previousAccessionNumber	20		1	m#	m#
3	3	String	isIndividual		YES_NO_TYPE	1	m	NA
3	4	NV	applicantName			NA	NA	NA
4	1	String	firstName	50		1	m	m
4	2	String	middleName	30		1	m	m
4	3	String	lastName	50		1	m	m
4	4	String	suffix	10		1	o	o

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA-I	MA-I/A
l3	5	String	applicantCrdNum	9		1	o	o
3	7	String	hasMoreThanOneAdvisoryFirms		YES_NO_TYPE	1	m	m
3	8	String	noOfAdvisoryFirms	2		1	m	m
3	9	NV	municipalAdvisorOffices			1	o	o
4	1	NV	municipalAdvisorOffice			unbounded	o	o
5	1	NV	municipalFirm			1	o	o
6	1	NV	municipalFiler			1	m	m
7	1	String	filerId	10		1	o	o
6	2	String	municipalFirmName	150		1	m	m
6	3	String	municipalDbaName	256		1	o	o
6	4	String	recentEmploymentCommencedDate	10		1	m	m
6	5	String	isIndependentRelatioship		YES_NO_TYPE	1	m	m
5	2	NV	maRegistration			1	m	m
6	1	NV	secRegistration			1	m	m
7	1	String	fileNumber	17		1	m#	m#
6	2	NV	notSecRegistered			1	m#	m#
7	1	NV	hasFiled			1	m#	m#
8	1	String	filingDate	10		1	m#	m#
8	2	String	cik	10		1	m#	m#
7	2	String	explanation	256		1	m#	m#
5	3	NV	advisorOffices			1	m#	m#
6	1	NV	advisorOffice			unbounded	m#	m#
7	1	NV	locationInfo		LOCATED_AT_SUPERVISED_FROM	2	m#	m#
7	2	String	startDate	10		1	m	m
7	3	NV	addressInfo			1	m	m
8	1	String	residentialAddressFlag		YES_NO_TYPE	1	m	m
8	2	NV	address			1	m	m
9	1	String	street1	40		1	m	m
9	2	String	street2	40		1	o	o
9	3	String	city	30		1	m	m
9	4	String	stateOrCountry		STATE_COUNTRY_CODE	1	m	m
9	5	String	zipCode	10		1	m	m
3	10	NV	otherNames			NA	NA	NA
4	1	NV	otherName			10	NA	NA
5	1	String	firstName	50		1	o	o
5	2	String	middleName	30		1	o	o
5	3	String	lastName	50		1	o	o
5	4	String	suffix	10		1	o	o

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA-I	MA-I/A
3	11	NV	residentialHistory			NA	NA	NA
4	1	NV	currentAddress			NA	NA	NA
5	1	String	startDate	10		1	m	m
5	2	String	endDate	10		1	o	o
5	3	NV	addressInfo			NA	NA	NA
6	1	String	street1	40		1	m	m
6	2	String	street2	40		1	o	o
6	3	String	city	30		1	m	m
6	4	String	stateOrCountry		STATE_COUNTRY_CODE	1	m	m
6	5	String	zipCode	10		1	m	m
4	2	NV	priorAddresses			NA	NA	NA
5	1	NV	priorAddress			NA	NA	NA
6	1	String	startDate	10		1	m#	m#
6	2	String	endDate	10		1	m#	m#
6	3	NV	addressInfo			1	NA	NA
7	1	String	street1	40		1	m#	m#
7	2	String	street2	40		1	o	o
7	3	String	city	30		1	m#	m#
7	4	String	stateOrCountry		STATE_COUNTRY_CODE	1	m#	m#
7	5	String	zipCode	10		1	m#	m#
3	12	NV	employmentHistory			NA	NA	NA
4	1	NV	currentEmployer			NA	NA	NA
5	1	String	startDate	10		1	m	m
5	2	String	endDate	10		1	o	o
5	3	String	name	256		1	m	m
5	4	NV	addressInfo			1	m	m
6	1	String	city	30		1	m	m
6	2	String	stateOrCountry		YES_NO_TYPE	1	m	m
6	3	String	zipCode	10		1	m	m
5	5	String	isRelatedToMunicipalAdvisor		YES_NO_TYPE	1	m	m
5	6	String	isRelatedToInvestment		YES_NO_TYPE	1	m	m
5	7	String	positionDescription	256		1	m	m
4	2	NV	priorEmployers			NA	NA	NA
5	1	NV	priorEmployer			unbounded	NA	NA
6	1	String	startDate	10		1	m#	m#
6	2	String	endDate	10		1	m#	m#
6	3	String	name	256		1	m#	m#
6	4	NV	addressInfo			1	m#	m#

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA-I	MA-I/A
7	1	String	city	30		1	m#	m#
7	2	String	stateOrCountry		YES_NO_TYPE	1	m#	m#
7	3	String	zipCode	10		1	m#	m#
6	5	String	isRelatedToMunicipalAdvisor		YES_NO_TYPE	1	m#	m#
6	6	String	isRelatedToInvestment		YES_NO_TYPE	1	m#	m#
6	7	String	positionDescription	256		1	m#	m#
3	13	String	isEngagedInOtherBusiness		YES_NO_TYPE	1	m	m
3	14	NV	otherBusinesses			NA	NA	NA
4	1	NV	otherBusiness			15	o	o
5	1	String	startDate	10		1	m#	m#
5	2	String	name	256		1	m#	m#
5	3	NV	addressInfo			1	m#	m#
6	1	String	street1	40		1	m#	m#
6	2	String	street2	40		1	m#	m#
6	3	String	city	30		1	m#	m#
6	4	String	stateOrCountry		STATE_COUNTRY_CODE	1	m#	m#
6	5	String	zipCode	10		1	m	m
5	4	String	isRelatedToMunicipalAdvisor		YES_NO_TYPE	1	m#	m#
5	5	String	isRelatedToInvestment			1	m#	m#
5	6	String	natureOfBusiness	256		1	m#	m#
5	7	String	positionDescription	1000		1	m#	m#
5	8	String	approximateHoursOrMonths	4		1	m#	m#
5	9	String	dutiesDescription	3000		1	m#	m#
3	15	NV	disclosureQuestions			NA	NA	NA
4	1	NV	criminalDisclosure			NA	NA	NA
5	1	NV	criminalDisclosureCommonQuestion			NA	NA	NA
6	1	String	isConvictedOfFelony		YES_NO_TYPE	1	m	m
6	2	String	isChargedWithFelony		YES_NO_TYPE	1	m	m
6	3	String	isOrgConvictedOfFelony		YES_NO_TYPE	1	m	m
6	4	String	isOrgChargedWithFelony		YES_NO_TYPE	1	m	m
5	2	String	isConvictedOfMisdemeanor		YES_NO_TYPE	1	m	m
5	3	String	isChargedWithMisdemeanor		YES_NO_TYPE	1	m	m
5	4	String	isOrgConvictedOfMisdemeanor		YES_NO_TYPE	1	m	m
5	5	String	isOrgChargedWithMisdemeanor		YES_NO_TYPE	1	m	m
4	2	NV	regulatoryDisclosure			NA	NA	NA
5	1	NV	regulatoryDisclosureCommonQuestion			NA	NA	NA
6	1	String	isMadeFalseStatement		YES_NO_TYPE	1	m	m
6	2	String	isViolatedRegulation		YES_NO_TYPE	1	m	m

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA-I	MA-I/A
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	isDiscipliend		YES_NO_TYPE	1	m	m
6	15	String	isAuthorizedToActAttorney		YES_NO_TYPE	1	m	m
6	16	String	isRegulatoryComplaint		YES_NO_TYPE	1	m	m
5	2	String	isViolatedSecurityAct		YES_NO_TYPE	1	m	m
5	3	String	isWillFullyAided		YES_NO_TYPE	1	m	m
5	4	String	isFailedToSupervise		YES_NO_TYPE	1	m	m
5	5	String	isFoundWillFullyAided		YES_NO_TYPE	1	m	m
5	6	String	isAssociationBared		YES_NO_TYPE	1	m	m
5	7	String	isFinalOrder		YES_NO_TYPE	NA	NA	NA
5	8	String	isWillFullyViolatedSecurityAct		YES_NO_TYPE	1	m	m
5	9	String	isFailedResonably		YES_NO_TYPE	1	m	m
4	3	NV	investigationDisclosure			NA	NA	NA
5	1	String	isInvestigated		YES_NO_TYPE	1	m	m
4	4	NV	civilDisclosure			NA	NA	NA
5	1	String	isEnjoined		YES_NO_TYPE	1	m	m
5	2	String	isFoundInViolationOfRegulation		YES_NO_TYPE	1	m	m
5	3	String	isDismissed		YES_NO_TYPE	1	m	m
5	4	String	isNamedInCivilProceeding		YES_NO_TYPE	1	m	m
4	5	NV	complaintDisclosure			NA	NA	NA
5	1	String	isComplaintPending		YES_NO_TYPE	1	m	m
5	2	String	isComplaintSettled		YES_NO_TYPE	1	m	m
5	3	String	isFraudCasePending		YES_NO_TYPE	1	m	m
5	4	String	isFraudCaseResultedAward		YES_NO_TYPE	1	m	m
5	5	String	isFraudCaseSettled		YES_NO_TYPE	1	m	m
4	6	NV	terminationDisclosure			NA	NA	NA
5	1	String	isViloatedIndustryStandard		YES_NO_TYPE	1	m	m
5	2	String	isInvolvedInFraud		YES_NO_TYPE	1	m	m
5	3	String	isFailedToSupervise		YES_NO_TYPE	1	m	m

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA-I	MA-I/A
4	7	NV	financialDisclosure			NA	NA	NA
5	1	String	isCompromised		YES_NO_TYPE	1	m	m
5	2	String	isBankruptcyPetition		YES_NO_TYPE	1	m	m
5	3	String	isTrusteeApointed		YES_NO_TYPE	1	m	m
5	4	String	isBondRevoked		YES_NO_TYPE	1	m	m
4	8	NV	judgmentLienDisclosure			NA	NA	NA
5	1	String	isLienAgainst		YES_NO_TYPE	1	m	m
3	16	NV	signatureInfo			NA	NA	NA
4	1	NV	signature			NA	NA	NA
5	1	String	dateSigned	10		1	m#	m#
5	2	NV	nameOfApplicant			NA	NA	NA
6	1	String	firstName	50		1	m#	m#
6	2	String	middleName	30		1	m#	m#
6	3	String	lastName	50		1	m#	m#
6	4	String	suffix	10		1	m#	m#
5	3	String	signature	150		1	m#	m#
5	4	String	title	256		1	m#	m#
4	2	String	crdNumber	9		1	m#	m#
3	17	NV	selfCertification			1	m#	m#
4	1	NV	signature			1	m#	m#
5	1	String	dateSigned	10		1	m#	m#
5	2	NV	nameOfApplicant			NA	NA	NA
6	1	String	firstName	50		1	m#	m#
6	2	String	middleName	30		1	m#	m#
6	3	String	lastName	50		1	m#	m#
6	4	String	suffix	10		1	o	o
5	3	String	signature	150		1	m#	m#
5	4	String	title	256		1	m#	m#
4	2	String	crdNumber	9		1	o	o
3	18	NV	drpInfo			1	m#	m#
4	1	NV	criminalDisclosure			NA	NA	NA
5	1	NV	criminalDrp			100	NA	NA
6	1	NV	baseHeader			NA	NA	NA
7	1	String	reponseType			1	m#1	m#1
8	1	String	add			1	m#1	m#1
8	2	String	amend			1	m#1	m#1
7	2	NV	filingInfo			1	m#1	m#1
8	1	NV	formADVBDFiling			1	m#1	m#1
9	1	String	filingName	256		1	m#1	m#1

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

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

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA-I	MA-I/A
9	2	String	exact			1	m#1	m#1
9	3	NV	explanationInfo			1	m#1	m#1
10	1	String	explanation			1	m#1	m#1
10	2	String	provideExplanation	3000		1	m#1	m#1
8	4	NV	courtInfo			1	m#1	m#1
9	1	NV	courtType			1	m#1	m#1
10	1	String	court		CRIMINAL_EVENT_COURT_TYPES	1	m#1	m#1
10	2	String	other	1000		1	m#1	m#1
9	2	NV	chargesInfo			1	m#1	m#1
10	1	NV	courtInfo			1	m#1	m#1
11	1	String	name	256		1	m#1	m#1
11	2	String	docketOrCaseNo	256		1	m#1	m#1
11	3	NV	address			1	m#1	m#1
12	1	String	street1	40		1	m#1	m#1
12	2	String	street2	40		1	m#1	m#1
12	3	String	city	30		1	m#1	m#1
12	4	String	stateOrCountry		STATE_COUNTRY_CODE	1	m#1	m#1
12	5	String	zipCode	10		1	m#1	m#1
10	2	String	docketCaseName	256		1	m#1	m#1
8	5	String	dateAppealFiled	10		1	m#1	m#1
4	2	NV	regulatoryDisclosure			NA	NA	NA
5	1	NV	regulatoryDrp			100	NA	NA
6	1	NV	baseHeader			1	m#1	m#1
7	1	String	reponseType			1	m#1	m#1
8	1	String	add			1	m#1	m#1
8	2	String	amend			1	m#1	m#1
7	2	NV	filingInfo			1	m#1	m#1
8	1	NV	formADVBDFiling			1	m#1	m#1
9	1	String	filingName	256		1	m#1	m#1
9	2	String	crdNumber	9		1	m#1	m#1
9	3	String	disclosureNumber	256		1	m#1	m#1
8	2	NV	maFiling			1	m#1	m#1
9	1	String	filingName	256		1	m#1	m#1
9	2	String	registrationNumber	17		1	m#1	m#1
9	3	String	filingDate	10		1	m#1	m#1
9	4	String	accessionNumber	20		1	m#1	m#1
8	3	NV	maiFiling			1	m#1	m#1
9	1	String	filingName	256		1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA-I	MA-I/A
9	2	String	registrationNumber	17		1	m#1	m#1
9	3	String	filingDate	10		1	m#1	m#1
9	4	String	accessionNumber	20		1	m#1	m#1
8	4	NV	matFiling			1	m#1	m#1
9	1	String	filingName	256		1	m#1	m#1
9	2	String	registrationNumber	17		1	m#1	m#1
9	3	String	filingDate	10		1	m#1	m#1
7	3	String	summary	10000		1	m#1	m#1
7	4	NV	drpRemovalInfo			1	m#1	m#1
8	1	String	isDrpRemovable		YES_NO_TYPE	1	m#1	m#1
8	2	NV	drpRemoveReason			1	m#1	m#1
9	1	String	isRegistered			1	m#1	m#1
9	2	NV	isFiledError			1	m#1	m#1
10	1	String	explainTheCircumstances	10000		1	m#1	m#1
7	5	String	status			1	m#1	m#1
8	1	String	pending			1	m#1	m#1
8	2	String	onAppeal			1	m#1	m#1
8	3	String	final			1	m#1	m#1
6	2	String	regulatoryQuestions		REGULATORY_DISCLOSURE_QUESTIONS	24	m#1	m#1
6	3	NV	drpData			1	m#1	m#1
7	1	NV	initiatedBy			1	m#1	m#1
8	1	String	Initiator			1	m#1	m#1
8	2	String	other	256		1	m#1	m#1
8	3	String	name	256		1	m#1	m#1
7	2	NV	sactionsSought			1	m#1	m#1
8	1	NV	saction		SANCTION_BASE_TYPE, PRINCIPAL_SANCTION_RELIEF_BASE	18	m#1	m#1
8	2	String	otherExplanation	3000		1	m#1	m#1
7	3	NV	dateInitiated			1	m#1	m#1
8	1	String	date	10		1	m#1	m#1
8	2	String	exact			1	m#1	m#1
8	3	NV	explanationInfo			1	m#1	m#1
9	1	String	explanation			1	m#1	m#1
9	2	String	provideExplanation	1000		1	m#1	m#1
7	4	NV	regulatoryInfo			1	m#1	m#1
8	1	NV	regulatoryBroughtInInformation			1	m#1	m#1
9	1	NV	courtInfo			1	m#1	m#1

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

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

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

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA-I	MA-I/A
12	2	String	provideExplanation	10000		1	m#1	m#1
10	3	NV	endDate			1	m#1	m#1
11	1	String	date	10		1	m#1	m#1
11	2	String	exact			1	m#1	m#1
11	3	NV	explanationInfo			1	m#1	m#1
12	1	String	explanation			1	m#1	m#1
12	2	String	provideExplanation	1000		1	m#1	m#1
10	4	String	description	3000		1	m#1	m#1
9	4	String	isReqaulificationRequired		YES_NO_TYPE	1	m#1	m#1
9	5	NV	requalificationDetails			1	m#1	m#1
10	1	NV	timeToReqaulifyRetrain			1	m#1	m#1
11	1	String	noTimePeriodSpecified			1	m#1	m#1
11	2	NV	durationTime			1	m#1	m#1
12	1	String	days			1	m#1	m#1
12	2	String	months			1	m#1	m#1
12	3	String	years			1	m#1	m#1
10	2	String	typeRequired	1000		1	m#1	m#1
10	3	NV	conditionState			1	m#1	m#1
11	1	String	satisfied			1	m#1	m#1
12	1	String	satisfied			1	m#1	m#1
12	2	NV	satisfiedDate	10		1	m#1	m#1
11	2	NV	notSatisfied			1	m#1	m#1
12	1	String	satisfied			1	m#1	m#1
12	2	String	explanation	1000		1	m#1	m#1
9	6	NV	monetarySanctions			1	m#1	m#1
10	1	Decimal	totalAmountOrdered	16		1	m#1	m#1
10	2	Decimal	amountOrdered	16		1	m#1	m#1
10	3	Decimal	waivedPortion	16		1	m#1	m#1
10	4	Decimal	finalAmount	18		1	m#1	m#1
10	5	NV	paymentState			1	m#1	m#1
11	1	NV	paidInFull			1	m#1	m#1
12	1	String	amountPaidInFull			1	m#1	m#1
12	2	String	paidDate	10		1	m#1	m#1
11	2	NV	notPaidInFull			1	m#1	m#1
12	1	String	amountNotPaidInFull			1	m#1	m#1
12	2	String	explanation	1000		1	o	o
7	5	NV	resolutionMatterInfo			1	m#	m#
8	1	String	type		MATTER_RESOLVED_TYPE	12	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA-I	MA-I/A
8	2	String	appealType		MATTER_APPEAL_TYPE	5	m#1	m#1
8	3	String	explanation	10000		1	o	o
8	4	String	isFinalOrder		YES_NO_TYPE	1	m#1	m#1
8	5	NV	resolutionDate			1	m#1	m#1
9	1	String	date	10		1	m#1	m#1
9	2	String	exact			1	m#1	m#1
9	3	NV	explanationInfo			1	m#1	m#1
10	1	String	explanation			1	m#1	m#1
10	2	String	provideExplanation	1000		1	m#1	m#1
4	3	NV	investigationDisclosure			NA	NA	NA
5	1	NV	investigationDrp			100	NA	NA
6	1	NV	baseHeader			NA	NA	NA
7	1	String	reponseType			1	m#1	m#1
8	1	String	add			1	m#1	m#1
8	2	String	amend			1	m#1	m#1
7	2	NV	filingInfo			1	m#1	m#1
8	1	NV	formADVBDFiling			1	m#1	m#1
9	1	String	filingName	256		1	m#1	m#1
9	2	String	crdNumber	9		1	m#1	m#1
9	3	String	disclosureNumber	256		1	m#1	m#1
8	2	NV	maFiling			1	m#1	m#1
9	1	String	filingName	256		1	m#1	m#1
9	2	String	registrationNumber	17		1	m#1	m#1
9	3	String	filingDate	10		1	m#1	m#1
9	4	String	accessionNumber	20		1	m#1	m#1
8	3	NV	maiFiling			1	m#1	m#1
9	1	String	filingName	256		1	m#1	m#1
9	2	String	registrationNumber	17		1	m#1	m#1
9	3	String	filingDate	10		1	m#1	m#1
9	4	String	accessionNumber	20		1	m#1	m#1
8	4	NV	matFiling			1	m#1	m#1
9	1	String	filingName	256		1	m#1	m#1
9	2	String	registrationNumber	17		1	m#1	m#1
9	3	String	filingDate	10		1	m#1	m#1
7	3	String	summary	10000		1	m#1	m#1
7	4	NV	drpRemovalInfo			1	m#1	m#1
8	1	String	isDrpRemovable		YES_NO_TYPE	1	m#1	m#1
8	2	NV	drpRemoveReason			1	m#1	m#1
9	1	String	isRegistered			1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA-I	MA-I/A
9	2	NV	isFiledError			1	m#1	m#1
10	1	String	explainTheCircumstances	10000		1	m#1	m#1
7	5	String	status			1	m#1	m#1
8	1	String	pending			1	m#1	m#1
8	2	String	onAppeal			1	m#1	m#1
8	3	String	final			1	m#1	m#1
6	2	String	investigationQuestions		INVESTIGATION_DISCLOSURE_QUESTIONS	6	m#1	m#1
6	3	String	drpData			1	m#1	m#1
7	1	NV	crimeInvestigationInfo			1	m#1	m#1
8	1	String	court		CRIMINAL_EVENT_COURT_TYPES	1	m#1	m#1
8	2	String	other	1000		1	m#1	m#1
7	2	NV	regulatoryInfo			1	m#1	m#1
8	1	String	initiator			1	m#1	m#1
9	1	String	sec			1	m#1	m#1
9	2	String	cftc			1	m#1	m#1
9	3	String	otherFederalAuthority			1	m#1	m#1
9	4	String	state			1	m#1	m#1
9	5	String	sro			1	m#1	m#1
9	6	String	foreignFRA			1	m#1	m#1
9	7	String	otherForeignAuthority			1	m#1	m#1
9	8	String	other			1	m#1	m#1
8	2	String	other	256		1	m#1	m#1
7	3	String	authorityName	256		1	m#1	m#1
7	4	NV	noticeDate			1	m#1	m#1
8	1	String	date	10		1	m#1	m#1
8	2	String	exact			1	m#1	m#1
8	3	NV	explanationInfo			1	m#1	m#1
9	1	String	explanation			1	m#1	m#1
9	2	String	provideExplanation	1000		1	m#1	m#1
7	5	String	investigationNature	10000		1	m#1	m#1
7	6		productType			1	m#1	m#1
8	1	String	product		PRINCIPAL_PRODUCT_OPTION_TYPE, PRINCIPAL_PRODUCT_TYPE_EXTENDED	1	m#1	m#1
8	2	String	productOther	1000		1	m#1	m#1
7	7	NV	caseClosedDate			1	m#1	m#1
8	1	String	date	10		1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA-I	MA-I/A
8	2	String	exact			1	m#1	m#1
8	3	NV	explanationInfo			1	m#1	m#1
9	1	String	explanation			1	m#1	m#1
9	2	String	provideExplanation	3000		1	m#1	m#1
7	8	NV	investigationResolvedInfo			1	m#1	m#1
8	1	String	resolvedTypes		INVESTIGATION_RE SOLVED_TYPE	1	m#1	m#1
8	2	String	reason	10000		1	m#1	m#1
4	4	NV	terminationDisclosure			1	m#1	m#1
5	1	NV	terminationDrp			100	m#1	m#1
6	1	NV	baseHeader			1	m#1	m#1
7	1	String	reponseType			1	m#1	m#1
8	1	String	add			1	m#1	m#1
8	2	String	amend			1	m#1	m#1
7	2	NV	filingInfo			1	m#1	m#1
8	1	NV	formADVBDFiling			1	m#1	m#1
9	1	String	filingName	256		1	m#1	m#1
9	2	String	crdNumber	9		1	m#1	m#1
9	3	String	disclosureNumber	256		1	m#1	m#1
8	2	NV	maFiling			1	m#1	m#1
9	1	String	filingName	256		1	m#1	m#1
9	2	String	registrationNumber	17		1	m#1	m#1
9	3	String	filingDate	10		1	m#1	m#1
9	4	String	accessionNumber	20		1	m#1	m#1
8	3	NV	maiFiling			1	m#1	m#1
9	1	String	filingName	256		1	m#1	m#1
9	2	String	registrationNumber	17		1	m#1	m#1
9	3	String	filingDate	10		1	m#1	m#1
9	4	String	accessionNumber	20		1	m#1	m#1
8	4	NV	matFiling			1	m#1	m#1
9	1	String	filingName	256		1	m#1	m#1
9	2	String	registrationNumber	17		1	m#1	m#1
9	3	String	filingDate	10		1	m#1	m#1
7	3	String	summary	10000		1	m#1	m#1
7	4	NV	drpRemovalInfo			1	m#1	m#1
8	1	String	isDrpRemovable		YES_NO_TYPE	1	m#1	m#1
8	2	NV	drpRemoveReason			1	m#1	m#1
9	1	String	isRegistered			1	m#1	m#1
9	2	NV	isFiledError			1	m#1	m#1
10	1	String	explainTheCircumstances	10000		1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA-I	MA-I/A
7	5	String	status			1	m#1	m#1
6	2	String	terminationQuestions		TERMINATION_DISCLOSURE_QUESTIONS	6	m#1	m#1
6	3	NV	drpData			1	m#1	m#1
7	1	NV	firmInfo			1	m#1	m#1
8	1	String	name	256		1	m#1	m#1
8	2	String	registrationNumber	17		NA	NA	NA
8	3	String	crdNumber	9		1	o	o
7	2	String	terminationType		TERMINATION_TYPE	1	m#1	m#1
7	3	NV	terminationDate			1	m#1	m#1
8	1	String	exact			1	m#1	m#1
8	2	NV	explanationInfo			1	m#1	m#1
9	1	String	explanation			1	m#1	m#1
9	2	String	provideExplanation	1000		1	m#1	m#1
7	4	String	allegation	10000		1	m#1	m#1
7	5	NV	productType			1	m#1	m#1
8	1	NV	product		PRINCIPAL_PRODUCT_OPTION_TYPE, PRINCIPAL_PRODUCT_TYPE_EXTENDED	35	m#1	m#1
8	2	String	productOther	1000		1	m#1	m#1
4	5	NV	judgementLienDisclosure			1	m#1	m#1
5	1	NV	judgementLienDrp			100	m#1	m#1
6	1	NV	baseHeader			1	m#1	m#1
7	1	String	reponseType			1	m#1	m#1
8	1	String	add			1	m#1	m#1
8	2	String	amend			1	m#1	m#1
7	2	NV	filingInfo			1	m#1	m#1
8	1	NV	formADVBDFiling			1	m#1	m#1
9	1	String	filingName	256		1	m#1	m#1
9	2	String	crdNumber	9		1	m#1	m#1
9	3	String	disclosureNumber	256		1	m#1	m#1
8	2	NV	maFiling			1	m#1	m#1
9	1	String	filingName	256		1	m#1	m#1
9	2	String	registrationNumber	17		1	m#1	m#1
9	3	String	filingDate	10		1	m#1	m#1
9	4	String	accessionNumber	20		1	m#1	m#1
8	3	NV	maiFiling			1	m#1	m#1
9	1	String	filingName	256		1	m#1	m#1
9	2	String	registrationNumber	17		1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA-I	MA-I/A
9	3	String	filingDate	10		1	m#1	m#1
9	4	String	accessionNumber	20		1	m#1	m#1
8	4	NV	matFiling			1	m#1	m#1
9	1	String	filingName	256		1	m#1	m#1
9	2	String	registrationNumber	17		1	m#1	m#1
9	3	String	filingDate	10		1	m#1	m#1
7	3	String	summary	10000		1	m#1	m#1
7	4	NV	drpRemovalInfo			1	m#1	m#1
8	1	String	isDrpRemovable		YES_NO_TYPE	1	m#1	m#1
8	2	NV	drpRemoveReason			1	m#1	m#1
9	1	String	isRegistered			1	m#1	m#1
9	2	NV	isFiledError			1	m#1	m#1
10	1	String	explainTheCircumstances	10000		1	m#1	m#1
7	5	NV	status			1	m#1	m#1
8	1	NV	pending			1	m#1	m#1
8	2	NV	onAppeal			1	m#1	m#1
8	3	NV	final			1	m#1	m#1
6	2	String	judgementQuestions		JUDGEMENT_LIEN_DISCLOSURE_QUESTIONS	1	m#1	m#1
6	3	NV	drpData			1	m#1	m#1
7	1	Decimal	judgementOrLienAmout	16		1	m#1	m#1
7	2	String	judgementOrLienHolder	256		1	m#1	m#1
7	3	String	judegmentOrLienType		LIEN_TYPE	2	m#1	m#1
7	4	NV	dateFiled			1	m#1	m#1
8	1	String	date	10		1	m#1	m#1
8	2	String	exact			1	m#1	m#1
8	3	NV	explanationInfo			1	m#1	m#1
9	1	String	exact			1	m#1	m#1
9	2	NV	explanationInfo			1	m#1	m#1
10	1	String	explanation			1	m#1	m#1
10	2	String	provideExplanation	1000		1	m#1	m#1
7	5	NV	courtInfo			1	m#1	m#1
8	1	String	court		CRIMINAL_EVENT_COURT_TYPES	1	m#1	m#1
8	2	String	other	1000		1	m#1	m#1
7	6	NV	courtDetail			1	m#1	m#1
8	1	NV	detail			1	m#1	m#1
9	1	NV	courtInfo			1	m#1	m#1
10	1	String	name	256		1	m#1	m#1
10	2	String	docketOrCaseNo	256		1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA-I	MA-I/A
10	3	NV	address			1	m#1	m#1
11	1	String	street1	40		1	m#1	m#1
11	2	String	street2	40		1	m#1	m#1
11	3	String	city	30		1	m#1	m#1
11	4	String	stateOrCountry		STATE_COUNTRY_C ODE	1	m#1	m#1
11	5	String	zipCode	10		1	m#1	m#1
9	2	String	docketCaseName	256		1	m#1	m#1
8	2	NV	date			1	m#1	m#1
9	1	String	date	10		1	m#1	m#1
9	2	String	exact			1	m#1	m#1
9	3	String	explanationInfo			1	m#1	m#1
10	1	String	explanation			1	m#1	m#1
10	2	String	provideExplanation	1000		1	m#1	m#1
7	7	String	matterResolved		LIEN_RESOLVED_TY PE, LIEN_RESOLVED_TY PE_EXTENDED	1	m#1	m#1
7	8	String	matterResolvedExplanation	3000		1	m#1	m#1
4	6	NV	civilJudicialDisclosure			1	m#1	m#1
5	1	NV	civilJudicialDrp			100	m#1	m#1
6	1	NV	baseHeader			1	m#1	m#1
7	1	String	reponseType			1	m#1	m#1
8	1	String	add			1	m#1	m#1
8	2	String	amend			1	m#1	m#1
7	2	NV	filingInfo			1	m#1	m#1
8	1	NV	formADVBDFiling			1	m#1	m#1
9	1	String	filingName	256		1	m#1	m#1
9	2	String	crdNumber	9		1	m#1	m#1
9	3	String	disclosureNumber	256		1	m#1	m#1
8	2	NV	maFiling			1	m#1	m#1
9	1	String	filingName	256		1	m#1	m#1
9	2	String	registrationNumber	17		1	m#1	m#1
9	3	String	filingDate	10		1	m#1	m#1
9	4	String	accessionNumber	20		1	m#1	m#1
8	3	NV	maiFiling			1	m#1	m#1
9	1	String	filingName	256		1	m#1	m#1
9	2	String	registrationNumber	17		1	m#1	m#1
9	3	String	filingDate	10		1	m#1	m#1
9	4	String	accessionNumber	20		1	m#1	m#1
8	4	NV	matFiling			1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA-I	MA-I/A
9	1	String	filingName	256		1	m#1	m#1
9	2	String	registrationNumber	17		1	m#1	m#1
9	3	String	filingDate	10		1	m#1	m#1
7	3	String	summary	10000		1	m#1	m#1
7	4	NV	drpRemovalInfo			1	m#1	m#1
8	1	String	isDrpRemovable		YES_NO_TYPE	1	m#1	m#1
8	2	NV	drpRemoveReason			1	m#1	m#1
9	1	String	isRegistered			1	m#1	m#1
9	2	NV	isFiledError			1	m#1	m#1
10	1	String	explainTheCircumstances	10000		1	m#1	m#1
7	5	String	status			1	m#1	m#1
8	1	String	pending			1	m#1	m#1
8	2	String	onAppeal			1	m#1	m#1
8	3	String	final			1	m#1	m#1
6	2	String	civilJudicialQuestions		CIVIL_JUDICIAL_DISCLOSURE_QUESTIONS	4	m#1	m#1
6	3	NV	drpData			1	m#1	m#1
7	1	NV	initiatedBy			1	m#1	m#1
8	1	NV	initiator		CIVIL_JUDICIAL_ACTION_INITIATED_BY_TYPE	10	m#1	m#1
8	2	String	other	256		1	m#1	m#1
7	2	NV	plantiffsInformation			1	m#1	m#1
8	1	String	plantiffName	10000		1	m#1	m#1
8	2	String	isPlantiffsIdentified		YES_NO_TYPE	1	m#1	m#1
7	3	NV	defendantInformation			1	m#1	m#1
8	1	String	defendantName	10000		1	m#1	m#1
8	2	String	isADefendant		YES_NO_TYPE	1	m#1	m#1
8	3	String	involementInformation	3000		1	m#1	m#1
7	4	NV	sactionsReliefSought		SANCTION_TYPE, CIVIL_JUDICIAL_SANCTIONS_TYPE	1	m#1	m#1
8	1	NV	sanctionRelief			21	m#1	m#1
8	2	String	other	3000		1	m#1	m#1
7	5	NV	filingDateCourtAction			1	m#1	m#1
8	1	String	date	10		1	m#1	m#1
8	2	String	exact			1	m#1	m#1
8	3	NV	explanationInfo			1	m#1	m#1
9	1	String	explanation			1	m#1	m#1
9	2	String	provideExplanation	1000		1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA-I	MA-I/A
7	6	NV	notificationServedInformation			1	m#1	m#1
8	1	String	date	10		1	m#1	m#1
8	2	String	exact			1	m#1	m#1
8	3	NV	explanationInfo			1	m#1	m#1
9	1	String	explanation			1	m#1	m#1
9	2	String	provideExplanation	1000		1	m#1	m#1
7	7	NV	courtInfo			1	m#1	m#1
8	1	NV	court		CRIMINAL_EVENT_COURT_TYPES	1	m#1	m#1
8	2	String	other	1000		1	m#1	m#1
7	8	NV	civilJudicialInfo			1	m#1	m#1
8	1	NV	courtInformation			1	m#1	m#1
9	1	NV	courtInfo			1	m#1	m#1
10	1	String	name	256		1	m#1	m#1
10	2	String	docketOrCaseNo	256		1	m#1	m#1
10	3	NV	address			1	m#1	m#1
11	1	String	street1	40		1	m#1	m#1
11	2	String	street2	40		1	m#1	m#1
11	3	String	city	30		1	m#1	m#1
11	4	String	stateOrCountry		STATE_COUNTRY_CODE	1	m#1	m#1
11	5	String	zipCode	10		1	m#1	m#1
9	2	String	docketCaseName	256		1	m#1	m#1
8	2		matterInformation			1	m#1	m#1
9	1	NV	employingFirmInfo			1	m#1	m#1
10	1	String	name	256		1	m#1	m#1
10	2	String	registrationNumber	17		1	o	o
10	3	String	crdNumber	9		1	o	o
9	2	NV	principalProductTypes			1	m#1	m#1
10	1	String	product		PRINCIPAL_PRODUCT_OPTION_TYPE, PRINCIPAL_PRODUCT_TYPE_EXTENDED	1	m#1	m#1
10	2	String	productOther	1000		1	m#1	m#1
9	3	String	otherProductTypes	1000		1	m#1	m#1
9	4	String	allegationsDescription	10000		1	m#1	m#1
8	3	NV	pendingInformation			1	m#1	m#1
9	1	NV	servedInformation			1	m#1	m#1
10	1	String	date	10		1	m#1	m#1
10	2	String	exact			1	m#1	m#1
10	3	NV	explanationInfo			1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA-I	MA-I/A
11	1	String	explanation			1	m#1	m#1
11	2	String	provideExplanation	1000		1	m#1	m#1
9	2	NV	limitationsRestrictions			1	m#1	m#1
10	1	String	hasLimitationsOrRestrictions		YES_NO_TYPE	1	m#1	m#1
10	2	String	details	3000		1	m#1	m#1
8	4	NV	appealInformation			1	m#1	m#1
9	1	NV	appealBroughtInInformation			1	m#1	m#1
11	1	NV	courtInfo			1	m#1	m#1
12	1	String	name	256		1	m#1	m#1
12	2	String	docketOrCaseNo	256		1	m#1	m#1
12	3	NV	address			1	m#1	m#1
13	1	String	street1	40		1	m#1	m#1
13	2	String	street2	40		1	m#1	m#1
13	3	String	city	30		1	m#1	m#1
13	4	String	stateOrCountry		STATE_COUNTRY_CODE	1	m#1	m#1
13	5	String	zipCode	10		1	m#1	m#1
11	2	String	docketCaseName	256		1	m#1	m#1
9	2	NV	dateInformation			1	m#1	m#1
10	1	String	date	10		1	m#1	m#1
10	2	String	exact			1	m#1	m#1
10	3	NV	explanationInfo			1	m#1	m#1
11	1	String	explanation			1	m#1	m#1
11	2	String	provideExplanation	3000		1	m#1	m#1
9	3	String	details	10000		1	m#1	m#1
9	4	NV	limitationsRestrictions			1	m#1	m#1
10	1	String	hasLimitationsOrRestrictions		YES_NO_TYPE	1	m#1	m#1
10	2	String	details	1000		1	m#1	m#1
8	5	NV	resolutionDetail			1	m#1	m#1
9	1	NV	sactionsOrdered			1	m#1	m#1
10	1	String	saction		SANCTION_BASE_TYPE, PRINCIPAL_SANCTION_RELIEF_BASE	20	m#1	m#1
10	2	String	otherExplanation	10000		1	m#1	m#1
9	2	Decimal	amountOrdered	16		1	m#1	m#1
8	6	NV	sanctionDetails			1	m#1	m#1
9	1	NV	barred			unbounded	m#1	m#1
10	1	NV	duration			1	m#1	m#1
11	1	NV	durationType			1	m#1	m#1
12	1	String	permanent			1	m#1	m#1

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

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA-I	MA-I/A
10	1	NV	duration			1	m#1	m#1
11	1	NV	durationType			1	m#1	m#1
12	1	String	permanent			1	m#1	m#1
12	2	NV	durationTime			1	m#1	m#1
13	1	String	days			1	m#1	m#1
13	2	String	months			1	m#1	m#1
13	3	String	years			1	m#1	m#1
10	2	NV	startDate			1	m#1	m#1
11	1	String	date	10		1	m#1	m#1
11	2	String	exact			1	m#1	m#1
11	3	NV	explanationInfo			1	m#1	m#1
12	1	String	explanation			1	m#1	m#1
12	2	String	provideExplanation	1000		1	m#1	m#1
10	3	NV	endDate			1	m#1	m#1
11	1	String	date	10		1	m#1	m#1
11	2	String	exact			1	m#1	m#1
11	3	NV	explanationInfo			1	m#1	m#1
12	1	String	explanation			1	m#1	m#1
12	2	String	provideExplanation	1000		1	m#1	m#1
10	4	String	description	3000		1	m#1	m#1
9	4	String	isReqaulificationRequired		YES_NO_TYPE	1	m#1	m#1
9	5	NV	requalificationDetails			1	m#1	m#1
10	1	NV	timeToReqaulifyRetrain			1	m#1	m#1
11	1	String	noTimePeriodSpecified			1	m#1	m#1
11	2	NV	durationTime			1	m#1	m#1
12	1	String	days			1	m#1	m#1
12	2	String	months			1	m#1	m#1
12	3	String	years			1	m#1	m#1
10	2	String	typeRequired	1000		1	m#1	m#1
10	3	NV	conditionState			1	m#1	m#1
11	1	String	satisfied			1	m#1	m#1
12	1	String	satisfied			1	m#1	m#1
12	2	NV	satisfiedDate	10		1	m#1	m#1
11	2	NV	notSatisfied			1	m#1	m#1
12	1	String	satisfied			1	m#1	m#1
12	2	String	explanation	1000		1	m#1	m#1
9	6	NV	monetarySanctions			1	m#1	m#1
10	1	Decimal	totalAmountOrdered	16		1	m#1	m#1
10	2	Decimal	amountOrdered	16		1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA-I	MA-I/A
10	3	Decimal	waivedPortion	16		1	m#1	m#1
10	4	Decimal	finalAmount	18		1	m#1	m#1
10	5	NV	paymentState			1	m#1	m#1
11	1	NV	paidInFull			1	m#1	m#1
12	1	String	amountPaidInFull			1	m#1	m#1
12	2	String	paidDate	10		1	m#1	m#1
11	2	NV	notPaidInFull			1	m#1	m#1
12	1	String	amountNotPaidInFull			1	m#1	m#1
12	2	String	explanation	1000		1	m#1	m#1
7	9	NV	resolutionInfo			1	m#1	m#1
8	1	String	resolutionTypes		CIVIL_JUDICIAL_TYPE	12	m#1	m#1
8	2	String	otherDescription	1000		1	m#1	m#1
8	3	String	appealType		APPEAL_TYPES, APPEAL_EXTENDED_TYPE	5	m#1	m#1
8	4	String	appealOther	1000		1	m#1	m#1
8	5	String	explanantion	10000		1	m#1	m#1
8	6	String	isFinalOrder		YES_NO_TYPE	1	m#1	m#1
8	7	NV	resolutionDate			1	m#1	m#1
9	1	String	date	10		1	m#1	m#1
9	2	String	exact			1	m#1	m#1
9	3	NV	explanationInfo			1	m#1	m#1
10	1	String	explanation			1	m#1	m#1
10	2	String	provideExplanation	1000		1	m#1	m#1
4	7	NV	customerComplaintDisclosure			1	m#1	m#1
5	1	NV	customerComplaintDrp			unbounded	m#1	m#1
6	1	NV	baseHeader			1	m#1	m#1
7	1	String	reponseType			1	m#1	m#1
8	1	String	add			1	m#1	m#1
8	2	String	amend			1	m#1	m#1
7	2	NV	filingInfo			1	m#1	m#1
8	1	NV	formADVBDFiling			1	m#1	m#1
9	1	String	filingName	256		1	m#1	m#1
9	2	String	crdNumber	9		1	m#1	m#1
9	3	String	disclosureNumber	256		1	m#1	m#1
8	2	NV	maFiling			1	m#1	m#1
9	1	String	filingName	256		1	m#1	m#1
9	2	String	registrationNumber	17		1	m#1	m#1
9	3	String	filingDate	10		1	m#1	m#1
9	4	String	accessionNumber	20		1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA-I	MA-I/A
8	3	NV	maiFiling			1	m#1	m#1
9	1	String	filingName	256		1	m#1	m#1
9	2	String	registrationNumber	17		1	m#1	m#1
9	3	String	filingDate	10		1	m#1	m#1
9	4	String	accessionNumber	20		1	m#1	m#1
8	4	NV	matFiling			1	m#1	m#1
9	1	String	filingName	256		1	m#1	m#1
9	2	String	registrationNumber	17		1	m#1	m#1
9	3	String	filingDate	10		1	m#1	m#1
7	3	String	summary	10000		1	m#1	m#1
7	4	NV	drpRemovalInfo			1	m#1	m#1
8	1	String	isDrpRemovable		YES_NO_TYPE	1	m#1	m#1
8	2	NV	drpRemoveReason			1	m#1	m#1
9	1	String	isRegistered			1	m#1	m#1
9	2	NV	isFiledError			1	m#1	m#1
10	1	String	explainTheCircumstances	10000		1	m#1	m#1
7	5	String	status			1	m#1	m#1
8	1	String	pending			1	m#1	m#1
8	2	String	onAppeal			1	m#1	m#1
8	3	String	final			1	m#1	m#1
6	2	String	customerComplaintQuestions		CUSTOMER_COMPLAINT_DISCLOSURE_QUESTIONS	1	m#1	m#1
6	3	NV	drpData			1	m#1	m#1
7	1	NV	disclosureStatus			1	m#1	m#1
8	1	String	isNotNamedAsParty		YES_NO_TYPE	1	m#1	m#1
8	2	NV	isNamedAsParty			1	m#1	m#1
9	1	String	isInvolveArbitration		YES_NO_TYPE	1	m#1	m#1
9	2	String	isInvolveLitigation		YES_NO_TYPE	1	m#1	m#1
7	2	String	customerName	3000		1	m#1	m#1
7	3	String	customerResidence		STATE_COUNTRY_CODE	1	m#1	m#1
7	4	String	customerOtherResidence	3000		1	m#1	m#1
7	5	NV	matterInformation			1	m#1	m#1
8	1	NV	employingFirmInfo			1	m#1	m#1
9	1	String	name	256		1	m#1	m#1
9	2	String	registrationNumber	17		1	o	o
9	3	String	crdNumber	9		1	o	o
8	2	NV	principalProductTypes			1	m#1	m#1
9	1	String	product		PRINCIPAL_PRODUCT_OPTION_TYPE, PRINCIPAL_PRODU	1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA-I	MA-I/A
					CT_TYPE_EXTENDED			
9	2	String	productOther	1000		1	m#1	m#1
8	3	String	otherProductTypes	1000		1	m#1	m#1
8	4	String	allegationsDescription	10000		1	m#1	m#1
7	6	NV	damageInfo			1	m#1	m#1
8	1	Decimal	damageAmount	16		1	m#1	m#1
8	2	String	exact			1	m#1	m#1
8	3	NV	explanationInfo			1	m#1	m#1
9	1	String	explanation			1	m#1	m#1
9	2	String	provideExplanation	1000		1	m#1	m#1
7	7	String	isOralComplaint		YES_NO_TYPE	1	m#1	m#1
7	8	String	isWrittenComplaint			1	m#1	m#1
7	9	NV	arbitrationDetail			1	m#1	m#1
8	1	NV	detail			1	m#1	m#1
9	1	NV	courtInfo			1	m#1	m#1
10	1	String	name	256		1	m#1	m#1
10	2	String	docketOrCaseNo	256		1	m#1	m#1
10	3	NV	address			1	m#1	m#1
11	1	String	street1	40		1	m#1	m#1
11	2	String	street2	40		1	m#1	m#1
11	3	String	city	30		1	m#1	m#1
11	4	String	stateOrCountry		STATE_COUNTRY_CODE	1	m#1	m#1
11	5	String	zipCode	10		1	m#1	m#1
9	2	String	docketCaseName	256		1	m#1	m#1
8	2	NV	date			1	m#1	m#1
9	1	String	date	10		1	m#1	m#1
9	2	String	exact			1	m#1	m#1
9	3	NV	explanationInfo			1	m#1	m#1
10	1	String	explanation			1	m#1	m#1
10	2	String	provideExplanation			1	m#1	m#1
7	10	String	filingDateArbitration	10		1	m#1	m#1
7	11	String	finalStatus		ARBITRATION_TYPE	8	m#1	m#1
7	12	NV	statusDate			1	m#1	m#1
8	1	String	date	10		1	m#1	m#1
8	2	String	exact			1	m#1	m#1
8	3	NV	explanationInfo	1000		1	m#1	m#1
9	1	String	explanation			1	m#1	m#1
9	2	String	provideExplanation	3000		1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA-I	MA-I/A
7	13	Decimal	monetaryJudgmentAmount	16		1	m#1	m#1
7	14	NV	judgementInfo			1	m#1	m#1
8	1	Decimal	totalAmount	16		1	m#1	m#1
8	2	Decimal	contributionAmount	16		1	m#1	m#1
8	3	NV	amountInfo			1	m#1	m#1
9	1	Decimal	reducedAmount	16		1	m#1	m#1
9	2	Decimal	totalFine	18		1	m#1	m#1
9	3	NV	paidStatus			1	m#1	m#1
10	1	String	paidInFullDate	10		1	m#1	m#1
10	2	String	explanation	3000		1	m#1	m#1
7	15	String	claimFiledWith	1000		1	m#1	m#1
7	16	NV	forumLocation			1	m#1	m#1
8	1	NV	detail			1	m#1	m#1
9	1	NV	courtInfo			1	m#1	m#1
10	1	String	name	256		1	m#1	m#1
10	2	String	docketOrCaseNo	256		1	m#1	m#1
10	3	NV	address			1	m#1	m#1
11	1	String	street1	40		1	m#1	m#1
11	2	String	street2	40		1	m#1	m#1
11	3	String	city	30		1	m#1	m#1
11	4	String	stateOrCountry		STATE_COUNTRY_CODE	1	m#1	m#1
11	5	String	zipCode	10		1	m#1	m#1
9	2	String	docketCaseName	256		1	m#1	m#1
8	2	NV	date			1	m#1	m#1
9	1	String	date	10		1	m#1	m#1
9	2	String	exact			1	m#1	m#1
9	3	NV	explanationInfo	1000		1	m#1	m#1
10	1	String	explanation			1	m#1	m#1
10	2	String	provideExplanation	3000		1	m#1	m#1
7	17	NV	dispositionType			1	m#1	m#1
8	1	String	dispositionTypes		DISPOSITION_BASE_TYPE, RESOLUTION_EXTENDED_TYPE	10	m#1	m#1
8	2	NV	otherInfo			1	m#1	m#1
9	1	String	other	3000		1	m#1	m#1
9	2	NV	dispositionDate			1	m#1	m#1
10	1	String	date	10		1	m#1	m#1
10	2	String	exact			1	m#1	m#1
10	3	NV	explanationInfo	1000		1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA-I	MA-I/A
11	1	String	explanation			1	m#1	m#1
11	2	String	provideExplanation	3000		1	m#1	m#1
7	18	NV	dispositionInfo			1	m#1	m#1
8	1	NV	compensationDetail			1	m#1	m#1
9	1	Decimal	totalAmount	16		1	m#1	m#1
9	2	Decimal	contributionAmount	16		1	m#1	m#1
9	3	NV	amountInfo			1	m#1	m#1
10	1	Decimal	reducedAmount	16		1	m#1	m#1
10	2	Decimal	totalFine	18		1	m#1	m#1
10	3	NV	paidStatus			1	m#1	m#1
11	1	String	paidInFullDate	10		1	m#1	m#1
11	2	String	explanation	1000		1	m#1	m#1
8	2	NV	courtInfo			1	m#1	m#1
9	1	String	court		CRIMINAL_EVENT_COURT_TYPES	1	m#1	m#1
9	2	String	other	1000		1	m#1	m#1
8	3	NV	appealInfo			1	m#1	m#1
9	1	NV	detail			1	m#1	m#1
10	1	NV	courtInfo			1	m#1	m#1
11	1	String	name	256		1	m#1	m#1
11	2	String	docketOrCaseNo	256		1	m#1	m#1
11	3	NV	address			1	m#1	m#1
12	1	String	street1	40		1	m#1	m#1
12	2	String	street2	40		1	m#1	m#1
12	3	String	city	30		1	m#1	m#1
12	4	String	stateOrCountry		STATE_COUNTRY_CODE	1	m#1	m#1
12	5	String	zipCode	10		1	m#1	m#1
10	2	String	docketCaseName	256		1	m#1	m#1
9	2	NV	date			1	m#1	m#1
10	1	String	date	10		1	m#1	m#1
10	2	String	exact			1	m#1	m#1
10	3	NV	explanationInfo			1	m#1	m#1
11	1	String	explanation			1	m#1	m#1
11	2	String	provideExplanation	1000		1	m#1	m#1
7	19	NV	resolutionType			1	m#1	m#1
8	1	String	dispositionTypes		DISPOSITION_BASE_TYPE, RESOLUTION_EXTENDED_TYPE	10	m#1	m#1
8	2	NV	otherInfo			1	m#1	m#1
9	1	String	other	3000		1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA-I	MA-I/A
9	2	NV	dispositionDate			1	m#1	m#1
10	1	String	date	10		1	m#1	m#1
10	2	String	exact			1	m#1	m#1
10	3	NV	explanationInfo			1	m#1	m#1
11	1	String	explanation			1	m#1	m#1
11	2	String	provideExplanation	3000		1	m#1	m#1
7	20	NV	resolutionInfo			1	m#1	m#1
8	1	NV	compensationDetail			1	m#1	m#1
9	1	Decimal	totalAmount	16		1	m#1	m#1
9	2	Decimal	contributionAmount	16		1	m#1	m#1
9	3	NV	amountInfo			1	m#1	m#1
10	1	Decimal	reducedAmount	16		1	m#1	m#1
10	2	Decimal	totalFine	18		1	m#1	m#1
10	3	NV	paidStatus			1	m#1	m#1
11	1	String	paidInFullDate	10		1	m#1	m#1
11	2	String	explanation	1000		1	m#1	m#1
8	2	NV	courtInfo			1	m#1	m#1
9	1	String	court		CRIMINAL_EVENT_COURT_TYPES	1	m#1	m#1
9	2	String	other	1000		1	m#1	m#1
8	3	NV	appealInfo			1	m#1	m#1
9	1	NV	detail			1	m#1	m#1
10	1	NV	courtInfo			1	m#1	m#1
11	1	String	name	256		1	m#1	m#1
11	2	String	docketOrCaseNo	256		1	m#1	m#1
11	3	NV	address			1	m#1	m#1
12	1	String	street1	40		1	m#1	m#1
12	2	String	street2	40		1	m#1	m#1
12	3	String	city	30		1	m#1	m#1
12	4	String	stateOrCountry		STATE_COUNTRY_CODE	1	m#1	m#1
12	5	String	zipCode	10		1	m#1	m#1
10	2	String	docketCaseName	256		1	m#1	m#1
9	2	NV	date			1	m#1	m#1
10	1	String	date	10		1	m#1	m#1
10	2	String	exact			1	m#1	m#1
10	3	NV	explanationInfo			1	m#1	m#1
11	1	String	explanation			1	m#1	m#1
11	2	String	provideExplanation	1000		1	m#1	m#1
7	21	String	appealDetail	10000		1	m#1	m#1

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA-I	MA-I/A
3	19	NV	documents			500	m#	m#
4	1	String	conformedName	32		1	m#	m#
4	2	String	conformedDocumentType			1	m#	m#
4	3	String	description	255		1	m#	m#
4	4	String	contents			1	m#	m#

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

Mapping of Form MA-W Submission Schema to Submission Type

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA-W
1	1	NV	edgarSubmission			1	m
2	1	String	schemaVersion	5		1	o
2	2	NV	headerData			1	m
3	1	String	submissionType		SUBMISSION_TYPE	1	m
3	2	NV	filerInfo			1	m
4	1	String	liveTestFlag			1	NA
4	2	NV	filer			1	m
5	1	String	filerId	10		1	m
5	2	String	filerCcc	8		1	m
5	3	String	filerFileNumber	17		1	m
4	3	NV	contact				m
5	1	String	name	30		1	m
5	2	String	phoneNumber	20		1	m
4	4	String	contactEmail	80		1	m
4	5	NV	notifications			1	o
5	1	String	internetNotificationAddress	80		unbounded	o
2	3	NV	formData			1	m
3	1	String	fullLegalName	150		1	m
3	2	String	fileNumber	17		1	m
3	3	NV	contactPersonInfo			1	m
4	1	NV	nameAddressPhone			1	m
5	1	NV	individualName			1	m
6	1	String	firstName	50		1	m
6	2	String	middleName	30		1	m
6	3	String	lastName	50		1	m

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA-W
5	2	String	name	256		1	m
5	3	NV	addressInfo			1	m
6	1	String	residentialAddressFlag			NA	NA
6	2	NV	address			1	m
7	1	String	streeet1	40		1	m
7	2	String	street2	40		1	o
7	3	String	city	30		1	m
7	4	String	stateOrCountry		STATE_COUNTRY_CODE	1	m
7	5	String	zipCode	10		1	m
5	4	String	phoneNumber	20		1	m
4	2	String	title	60		1	o
4	3	String	email	80		1	m
3	4	Decimal	amountOwedForPreppaidServices	16		1	m#
3	5	Decimal	amountOwedFromBorrowedFunds	16		1	m#
3	6	String	isAdvisoryContract		YES_NO_TYPE	1	m
3	7	NV	advisoryContractAssignments			1	m#
4	1	NV	advisoryContract			unbounded	m#
5	1	NV	individualName			NA	NA
5	2	String	firstName	50		NA	NA
5	3	String	middleName	30		NA	NA
5	4	String	lastName	50		NA	NA
5	5	String	name	256		unbounded	#m
5	6	NV	addressInfo			unbounded	#m
5	7	String	residentialAddressFlag			unbounded	#m
5	8	NV	address			unbounded	#m
5	9	String	streeet1	40		unbounded	#m
5	10	String	street2	40		unbounded	o
5	11	String	city	30		unbounded	#m
5	12	String	stateOrCountry		STATE_COUNTRY_CODE	unbounded	#m
5	13	String	zipCode	10		unbounded	#m
5	14	String	phoneNumber	20		unbounded	#m
3	8	String	isUnsatisfiedJudgementsOrLiens		YES_NO_TYPE	1	m
3	9	String	isReceivedAnyPrepaidFee		YES_NO_TYPE	1	m
3	10	String	isBorrowedNotRepaid		YES_NO_TYPE	1	m
3	11	NV	booksAndRecords			1	m
4	1	NV	personLocation			unbounded	m
5	1	NV	personInfo			unbounded	m
6	1	NV	individualName			NA	NA

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA-W
6	2	String	firstName	50		NA	NA
6	3	String	middleName	30		NA	NA
6	4	String	lastName	50		NA	NA
6	5	String	name	256		unbounded	m
6	6	NV	addressInfo			unbounded	m
6	7	String	residentialAddressFlag			unbounded	m
6	8	NV	address			unbounded	NA
6	9	String	streeet1	40		unbounded	o
6	10	String	street2	40		unbounded	m
6	11	String	city	30		unbounded	m
6	12	String	stateOrCountry		STATE_COUNTRY_CODE	unbounded	m
6	13	String	zipCode	10		unbounded	m
6	14	String	phoneNumber	20		unbounded	m
5	2	NV	locationInfo			unbounded	m
6	1	NV	nameAddressPhone			unbounded	m
7	1	NV	individualName			NA	NA
7	2	String	firstName	50		NA	NA
7	3	String	middleName	30		NA	NA
7	4	String	lastName	50		NA	NA
7	5	String	name	256		unbounded	o
7	6	NV	addressInfo			unbounded	m
7	7	String	residentialAddressFlag			unbounded	m
7	8	NV	address			unbounded	m
7	9	String	streeet1	40		unbounded	m
7	10	String	street2	40		unbounded	m
7	11	String	city	30		unbounded	m
7	12	String	stateOrCountry		STATE_COUNTRY_CODE	unbounded	m
7	13	String	zipCode	10		unbounded	m
7	14	String	phoneNumber	20		unbounded	m
6	2	String	description	256		unbounded	m
3	12	NV	execution			1	m
4	1	NV	naturalPersonMucipal			NA	NA
5	1	String	signature	150		NA	NA
5	2	String	signerName	150		NA	NA
5	3	String	title	150		NA	NA
5	4	String	date	10		NA	NA
4	2	NV	soleProprietor			1	m#
5	1	String	signature	150		1	m#

Level	Order	Data Type	Element/Attribute Name	Max Length	Choice List	Max Occur	MA-W
5	2	String	signerName	150		1	m#
5	3	String	title	150		1	m#
5	4	String	date	10		1	m#
4	3	NV	muncipalAdvisoryFirm			1	m#
5	1	String	signature	150		1	m#
5	2	String	signerName	150		1	m#
5	3	String	title	150		1	m#
5	4	String	date	10		1	m#
3	13	NV	statementOfFinancials			1	m#
4	1	NV	assetInfo			1	m#
5	1	NV	currentAssets			1	m#
6	1	Decimal	cash	16		1	m#
6	2	Decimal	securititesAtMarket	16		1	m#
6	3	Decimal	nonMarketableSecurities	16		1	m#
6	4	Decimal	otherCurrentAssets	16		1	m#
6	5	Decimal	totalCurrentAssets	18		1	m#
5	2	Decimal	totalFixedAsset	16		1	m#
5	3	Decimal	totalAsset	18		1	m#
4	2	NV	liabilityAndSharholdersEquityInfo			1	m#
5	1	NV	currentLiabilities			1	m#
6	1	Decimal	prepaidAdisoryFees	16		1	m#
6	2	Decimal	shortTermLoansFromClients	16		1	m#
6	3	Decimal	otherShortTermLoans	16		1	m#
6	4	Decimal	otherCurrentLiabilities	16		1	m#
6	5	Decimal	totalCurrentLiabilities	18		1	m#
5	2	NV	fixedLiabilities			1	m#
6	1	Decimal	longTermDebtOwned	16		1	m#
6	2	Decimal	otherLongTermDebt	16		1	m#
6	3	Decimal	otherLongTermLiabilities	16		1	m#
6	4	Decimal	totalFixedLiabilities	18		1	m#
5	3	Decimal	totalShareholdersEquity	18		1	m#
5	4	Decimal	totalLiabilitiesAndShareholdersEquity	18		1	m#

4 FORM MA SCHEMA DATA VALUE CONSTRAINTS

4.1 SUBMISSION_TYPE

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

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

4.2 YES_NO_TYPE

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

VALUE
Y
N

4.3 MONTH_TYPE

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

VALUE
January
February
March
April
May
June

VALUE
July
August
September
October
November
December

4.4   CLIENT_TYPE

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

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

4.5   SOLICITATION_PERSON_TYPE

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

VALUE
Public pension funds
529 Plans
Local government investment pools

VALUE
State government investment pools
Hospitals
Colleges
Other
Not Applicable

4.6 COMPENSATION_TYPE

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

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

4.7 ENGAGED_ACTIVITY_TYPE

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

VALUE
Advice Insurance Of MS
Advice Investment Of Proceeds MS
Advice ME Investments

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

4.8 FIA_ASSOCIATED_PERSON_TYPE

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

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

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

4.9   SECTION_12_15D_REPORTING_SCHEDULE

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

VALUE
Schedule A
Schedule B
Schedule C Section 4

VALUE
Schedule C Section 5
Schedule D Section 8-A

4.10 OWNERSHIP_CODE

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

VALUE
NA
A
B
C
D
E
F

4.11 CRIMINAL_RESPONDING_TO_TYPE

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

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

4.12 DISPOSITION_TYPES

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

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

4.13 APPEAL_TYPES

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

VALUE
Affirmed
Vacated & Returned For Further Action

VALUE
Vacated / Final
Other

4.14 REGULATORY_RESPONDING_TO_TYPE

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

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

4.15 SANCTION_BASE_TYPE

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

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

4.16 PRINCIPAL_SANCTION_RELIEF_BASE

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

VALUE
Cease and Desist
Disgorgement
Injunction
Restitution

4.17 PRINCIPAL_PRODUCT_TYPE_EXTENDED

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

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

4.18 PRINCIPAL_PRODUCT_OPTION_TYPE

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

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

VALUE
Options
Penny Sock(s)
Unit Investment Trust(s)

4.19 REGULATORY_RESOLUTION_TYPE

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

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

4.20 CIVIL_JUDICIAL_RESOLUTION_TYPE

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

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

4.21 APPEAL_EXTENDED_TYPE

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

VALUE
Vacated Nunc Pro Tunc / ab initio

4.22 CIVIL_JUDICIAL_SANCTIONS_TYPE

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

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

4.23 CIVIL_JUDICIAL_ACTION_INITIATED_BY_TYPE

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

VALUE
SEC
Other Federal Authority
State

VALUE
SRO
Foreign Financial Regulatory Authority
Commodities Exchange
Private Plantiff
CFTC
Municipal Advisory Firm
Other

4.24 CIVIL_JUDICIAL_RESPONDING_TO_TYPE

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

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

4.25 SANCTION_BASE_TYPE

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

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

5   FORM MA-I SCHEMA DATA VALUE CONSTRAINTS

5.1   SUBMISSION_TYPE

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

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

5.2   YES_NO_TYPE

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

VALUE
Y
N

5.3   LOCATED_AT_SUPERVISED_FROM

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

VALUE
LOCATED
SUPERVISED

5.4   CRIMINAL_DISCLOSURE_QUESTIONS

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

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

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

5.5   CRIMINAL_EVENT_COURT_TYPES

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

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

5.6   REGULATORY_DISCLOSURE_QUESTIONS

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

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

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

5.7 SANCTION_BASE_TYPE

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

5.8 PRINCIPAL_SANCTION_RELIEF_BASE

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

VALUE
Cease and Desist
Disgorgement

VALUE
Injunction
Restitution

5.9 PRINCIPAL_PRODUCT_TYPE_EXTENDED

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

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

5.10 PRINCIPAL_PRODUCT_OPTION_TYPE

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

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

VALUE
Unit Investment Trust(s)

5.11 MATTER_RESOLVED_TYPE

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

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

5.12 MATTER_APPEAL_TYPE

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

VALUE
Affirmed
Vacated Nunc Pro Tunc / ab initio

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

5.13 INVESTIGATION_DISCLOSURE_QUESTIONS

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

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

5.14 INVESTIGATION_RESOLVED_TYPE

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

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

5.15 TERMINATION_DISCLOSURE_QUESTIONS

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

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

5.16 TERMINATION_TYPE

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

VALUE
Discharged
Permited to Resign
Voluntary Resignation

5.17 JUDGEMENT_LIEN_DISCLOSURE_QUESTIONS

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

VALUE
6M

5.18 LIEN_TYPE

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

VALUE
Civil

VALUE
Tax

5.19 LIEN_RESOLVED_TYPE_EXTENDED

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

VALUE
Other

5.20 LIEN_RESOLVED_TYPE

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

VALUE
Discharged
Released
Removed
Satisfied

5.21 CIVIL_JUDICIAL_DISCLOSURE_QUESTIONS

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

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

5.22 CIVIL_JUDICIAL_ACTION_INITIATED_BY_TYPE

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

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

5.23 CIVIL_JUDICIAL_SANCTIONS_TYPE

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

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

5.24 APPEAL_TYPES

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

VALUE
Affirmed

VALUE
Vacated & Returned For Further Action
Vacated / Final
Other

5.25 APPEAL_EXTENDED_TYPE

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

VALUE
Vacated Nunc Pro Tunc / ab initio

5.26 CIVIL_JUDICIAL_TYPE

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

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

5.27 CUSTOMER_COMPLAINT_DISCLOSURE_QUESTIONS

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

VALUE
6I(1)(a)

VALUE
6I(1)(B)
6I(2)(a)
6I(2)(b)
6I(2)(c)

5.28 ARBITRATION_TYPE

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

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

5.29 DISPOSITION_BASE_TYPE

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

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

5.30 RESOLUTION_EXTENDED_TYPE

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

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

6 FORM MA-W SCHEMA DATA VALUE CONSTRAINTS

6.1 SUBMISSION_TYPE

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

VALUE	DESCRIPTION
MA-W	Withdrawal Filing

6.2 YES_NO_TYPE

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

VALUE
Y
N

7 BASIC SUBMISSION CONSTRUCTION

7.1 General Formatting of XML Files

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

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

2. The file cannot be compressed in any fashion.

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

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

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

<cik>1212121212</cik>

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

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

7.2 XML Submission File Rules

The following rules apply to the supporting document XML-format:

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

2. The XML elements cannot have any namespaces.

   For e.g.: It has to be <contactName> and not <ns1:contactName>

3. The order of any <notificationEmailAddress> elements does not matter.

4. The submission file must conform to the XML schema files. Any violation of this schema will result in the suspension of the filing.

7.2.1   Enclosing a Document

1. Allowable file extensions are .pdf, .txt, .htm, .jpg, .xml and .gif.
2. The allowable document types are shown in the DocTypeList table in Section 4.3.
3. The names of attached document files must follow the EDGAR file naming conventions:

   - File names cannot exceed 32 characters, including the file extension.
   - Valid characters are lowercase letters, digits 0-9, up to one underscore, up to one hyphen, and up to one period.
   - First character must be a letter.
   - Spaces are not allowed.
   - File name must have a file type extension of .xml.

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

   - File names cannot exceed 32 characters, including the file extension.
   - Valid characters are lowercase letters, digits 0-9, up to one underscore, up to one hyphen, and up to one period.
   - First character must be a letter.
   - Spaces are not allowed.
   - File name must have a file type extension of .xml.

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

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

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

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

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

8 ERROR REPORTING

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

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

Table 8-1: Submission Errors and Severity

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

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

9 EXAMPLE FORM MA SUBMISSION FILES

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

Table 9-1: Sample Submission/Document Files

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

Appendix A. STATE/COUNTRY CODES

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

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

Code	State/Country Name
RI	RHODE ISLAND
SC	SOUTH CAROLINA
SD	SOUTH DAKOTA
TN	TENNESSEE
TX	TEXAS
UT	UTAH
VT	VERMONT
VA	VIRGINIA
WA	WASHINGTON
WV	WEST VIRGINIA
WI	WISCONSIN
WY	WYOMING
PR	PUERTO RICO
VI	VIRGIN ISLANDS, U.S.
A0	ALBERTA, CANADA
A1	BRITISH COLUMBIA, CANADA
Z4	CANADA (FEDERAL LEVEL)
A2	MANITOBA, CANADA
A3	NEW BRUNSWICK, CANADA
A4	NEWFOUNDLAND, CANADA
A5	NOVA SCOTIA, CANADA
A6	ONTARIO, CANADA
A7	PRINCE EDWARD ISLAND, CANADA
A8	QUEBEC, CANADA
A9	SASKATCHEWAN, CANADA
B0	YUKON, CANADA
B2	AFGHANISTAN
Y6	ALAND ISLANDS
B3	ALBANIA
B4	ALGERIA
B5	AMERICAN SAMOA
B6	ANDORRA
B7	ANGOLA
1A	ANGUILLA
B8	ANTARCTICA
B9	ANTIGUA AND BARBUDA
C1	ARGENTINA
1B	ARMENIA
1C	ARUBA
C3	AUSTRALIA
C4	AUSTRIA
1D	AZERBAIJAN
C5	BAHAMAS
C6	BAHRAIN

Code	State/Country Name
C7	BANGLADESH
C8	BARBADOS
1F	BELARUS
C9	BELGIUM
D1	BELIZE
G6	BENIN
D0	BERMUDA
D2	BHUTAN
D3	BOLIVIA
1E	BOSNIA AND HERZEGOVINA
B1	BOTSWANA
D4	BOUVET ISLAND
D5	BRAZIL
D6	BRITISH INDIAN OCEAN TERRITORY
D9	BRUNEI DARUSSALAM
E0	BULGARIA
X2	BURKINA FASO
E2	BURUNDI
E3	CAMBODIA
E4	CAMEROON
E8	CAPE VERDE
E9	CAYMAN ISLANDS
F0	CENTRAL AFRICAN REPUBLIC
F2	CHAD
F3	CHILE
F4	CHINA
F6	CHRISTMAS ISLAND
F7	COCOS (KEELING) ISLANDS
F8	COLOMBIA
F9	COMOROS
G0	CONGO
Y3	CONGO, THE DEMOCRATIC REPUBLIC OF THE
G1	COOK ISLANDS
G2	COSTA RICA
L7	COTE D'IVOIRE
1M	CROATIA
G3	CUBA
G4	CYPRUS
2N	CZECH REPUBLIC
G7	DENMARK
1G	DJIBOUTI
G9	DOMINICA
G8	DOMINICAN REPUBLIC
H1	ECUADOR

Code	State/Country Name
H2	EGYPT
H3	EL SALVADOR
H4	EQUATORIAL GUINEA
1J	ERITREA
1H	ESTONIA
H5	ETHIOPIA
H7	FALKLAND ISLANDS (MALVINAS)
H6	FAROE ISLANDS
H8	FIJI
H9	FINLAND
I0	FRANCE
I3	FRENCH GUIANA
I4	FRENCH POLYNESIA
2C	FRENCH SOUTHERN TERRITORIES
I5	GABON
I6	GAMBIA
2Q	GEORGIA (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
L6	ITALY

Code	State/Country Name
L8	JAMAICA
M0	JAPAN
Y9	JERSEY
M2	JORDAN
1P	KAZAKSTAN
M3	KENYA
J2	KIRIBATI
M4	KOREA, DEMOCRATIC PEOPLE'S REPUBLIC OF
M5	KOREA, REPUBLIC OF
M6	KUWAIT
1N	KYRGYZSTAN
M7	LAO PEOPLE'S DEMOCRATIC REPUBLIC
1R	LATVIA
M8	LEBANON
M9	LESOTHO
N0	LIBERIA
N1	LIBYAN ARAB JAMAHIRIYA
N2	LIECHTENSTEIN
1Q	LITHUANIA
N4	LUXEMBOURG
N5	MACAU
1U	MACEDONIA, THE FORMER YUGOSLAV REPUBLIC OF
N6	MADAGASCAR
N7	MALAWI
N8	MALAYSIA
N9	MALDIVES
O0	MALI
O1	MALTA
1T	MARSHALL ISLANDS
O2	MARTINIQUE
O3	MAURITANIA
O4	MAURITIUS
2P	MAYOTTE
O5	MEXICO
1K	MICRONESIA, FEDERATED STATES OF
1S	MOLDOVA, REPUBLIC OF
O9	MONACO
P0	MONGOLIA
Z5	MONTENEGRO
P1	MONTSERRAT
P2	MOROCCO
P3	MOZAMBIQUE
E1	MYANMAR
T6	NAMIBIA

Code	State/Country Name
P5	NAURU
P6	NEPAL
P7	NETHERLANDS
P8	NETHERLANDS ANTILLES
1W	NEW CALEDONIA
Q2	NEW ZEALAND
Q3	NICARAGUA
Q4	NIGER
Q5	NIGERIA
Q6	NIUE
Q7	NORFOLK ISLAND
1V	NORTHERN MARIANA ISLANDS
Q8	NORWAY
P4	OMAN
R0	PAKISTAN
1Y	PALAU
1X	PALESTINIAN TERRITORY, OCCUPIED
R1	PANAMA
R2	PAPUA NEW GUINEA
R4	PARAGUAY
R5	PERU
R6	PHILIPPINES
R8	PITCAIRN
R9	POLAND
S1	PORTUGAL
S3	QATAR
S4	REUNION
S5	ROMANIA
1Z	RUSSIAN FEDERATION
S6	RWANDA
Z0	SAINT BARTHELEMY
U8	SAINT HELENA
U7	SAINT KITTS AND NEVIS
U9	SAINT LUCIA
Z1	SAINT MARTIN
V0	SAINT PIERRE AND MIQUELON
V1	SAINT VINCENT AND THE GRENADINES
Y0	SAMOA
S8	SAN MARINO
S9	SAO TOME AND PRINCIPE
T0	SAUDI ARABIA
T1	SENEGAL
Z2	SERBIA
T2	SEYCHELLES

Code	State/Country Name
T8	SIERRA LEONE
U0	SINGAPORE
2B	SLOVAKIA
2A	SLOVENIA
D7	SOLOMON ISLANDS
U1	SOMALIA
T3	SOUTH AFRICA
1L	SOUTH GEORGIA AND THE SOUTH SANDWICH ISLANDS
U3	SPAIN
F1	SRI LANKA
V2	SUDAN
V3	SURINAME
L9	SVALBARD AND JAN MAYEN
V6	SWAZILAND
V7	SWEDEN
V8	SWITZERLAND
V9	SYRIAN ARAB REPUBLIC
F5	TAIWAN
2D	TAJIKISTAN
W0	TANZANIA, UNITED REPUBLIC OF
W1	THAILAND
Z3	TIMOR-LESTE
W2	TOGO
W3	TOKELAU
W4	TONGA
W5	TRINIDAD AND TOBAGO
W6	TUNISIA
W8	TURKEY
2E	TURKMENISTAN
W7	TURKS AND CAICOS ISLANDS
2G	TUVALU
W9	UGANDA
2H	UKRAINE
C0	UNITED ARAB EMIRATES
X0	UNITED KINGDOM
2J	UNITED STATES MINOR OUTLYING ISLANDS
X3	URUGUAY
2K	UZBEKISTAN
2L	VANUATU
X5	VENEZUELA
Q1	VIET NAM
D8	VIRGIN ISLANDS, BRITISH
X8	WALLIS AND FUTUNA
U5	WESTERN SAHARA

Code	State/Country Name
T7	YEMEN
Y4	ZAMBIA
Y5	ZIMBABWE

Appendix B. ACRONYMS

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

Appendix C.   US_IAR_STATE_TYPE

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

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

Appendix D.   NON_US_COUNTRY_CODES

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

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

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

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

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

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