Branch Information Report – Mapping document (version 04/2014 vs. version 10/2005)

General Notes:
- Data elements which are no longer part of the Form BR version 04/2014 will also cease to be delivered via the Branch Information Report.
- Newly added fields and modifications to existing fields have been highlighted below. In addition, please see the Notes column for more information regarding data mapping and other commentary.

Report Element	Schema Field Name	Maximum Length	Notes
Organization Information	**Org**		
Applicant CRD Number	orgPK	8	
Applicant Name	orgNm	64	
Applicant SEC #	SECNb	16	
Applicant FINRA District Number	dstrtPK	5	
Address	**Addr**		
Applicant Street Address1	strt1	50	
Applicant Street Address 2	strt2	50	
Applicant City	city	50	
Applicant State	state	2	
Applicant Country Name	cntry	50	
Applicant Postal Code	postlCd	11	
Branch Offices	**BrnchOfcs**		
Branch Office	**BrnchOfc**		
Branch CRD #	brnchPK	8	
~~NYSE~~ Branch Code Number	~~NYSE~~BrnchCdNb	~~16~~15	**Legacy NYSE label removed, but field otherwise retained.**
Firm Billing Code	bllngCd	8	
Branch Telephone Number	brnchPhone	27	
Branch Fax Number	brnchFax	27	
Private Residence Indicator	prvtRsdnc	1	
FINRA Branch District (The district to which the branch offices is assigned)	dstrtPK	8	
Branch Operational Status	oprnlStCd	20	
Address	**Addr**		
Branch Street Address 1	strt1	50	
Branch Street Address 2	strt2	50	
Branch City	city	50	
Branch State	state	2	
Branch Country Code	cntry	3	
Branch Postal Code	postlCd	11	
~~Branch Other Names~~	~~OthrNms~~	~~-~~	**The other names information was reported twice on the old version of the BIR. Refer OthrBusNms. This instance is being removed.**
~~Branch Other Name~~	~~OthrNm~~	~~-~~	
~~Branch Other Name~~	~~nm~~	~~64~~	
Branch Deficiencies	**Dfcnys**		
Branch Deficiency	**Dfcny**		
Branch Deficiency Status	st	20	**Allowed values (new list)** • **PNDNGFIRM-Pending Firm** • **OSJNOSPRVEMPLT-A listed OSJ Supervisor is no longer associated with that OSJ Branc** • **OSJNOSPRV-A listed OSJ Branch**

			has no valid OSJ Supervisor • **OSJNACTV-A listed OSJ Branch is inactive** • **NYSESPRVPICQUALS-A listed Supervisor or Person-in-Charge for NYSE Branch is no longer qualified** • **NYSEPRNCPLSPRVQUALS-NYSE Branch Supervisor(s) no longer holds principal position** • **NYSEPRNCPLOSJSPRVQL-NYSE OSJ Supervisor(s) no longer holds principal position** • **NYSEOSJSPRVQUALS-NYSE OSJ Supervisor is no longer qualified** • **NOSPRVPIC-The only listed Supervisor or Person-in-Charge is no longer with Branch** • **FUNDS-Funds** • **FINRASPRVPICQUALS-A listed Supervisor or Person-in-Charge for FINRA Branch is no longer qualified** • **FINRAPRNCPLSPRVQUALS-FINRA Branch Supervisor(s) no longer holds FINRA principal position** • **FINRAPRNCPLOSJSPRVQL-FINRA OSJ Supervisor(s) no longer holds FINRA principal position** • **FINRAOSJSPRVQUALS-FINRA OSJ Supervisor is no longer qualified** **The following Branch Deficiency codes have been retired/renamed.** • **NYSERGLRSPRVQUALS-NYSE Regular Branch Supervisor no longer qualified** • **NYSERGLRNOSPRVEMPLT-NYSE Regular Branch Supervisor no longer employed by that Regular Branch's parent Firm** • **NYSERGLRNOSPRV-NYSE Regular Branch Supervisor no longer with that Regular Branc** • **NYSERGLRNACTV-NYSE Regular Branch is inactive** • **FINRAOSJNOSPRVEMPLT-FINRA OSJ Supervisor no longer employed by that OSJ Branch's Firm** • **FINRAOSJNOSPRV-FINRA OSJ**

			Supervisor no longer with that OSJ Branch • **FINRAOSJNACTV-FINRA OSJ is inactive** In cases where the old value is retained on the new Form BR version, data will be mapped to the corresponding new values.
Branch Deficiency Details	dtlTxt	~~384~~512	Descriptions have changed to match the new code values. Refer to the XSD (DeficiencyDetailsType) for more details.
Branch Deficiency Date	dt	10	
Associated Individuals	**AsctdIndvls**		
Associated Individual	**AsctdIndvl**		
Individual CRD Number	indvlPK	10	
Last Name	last	25	
First Name	first	25	
Middle Name	mid	20	
Suffix Name	suf	5	
Independent Contractor	ndpndCntrcrFl	1	
~~Indicates if individual is a Supervisor or Person-In-Charge~~	~~sprvPICFl~~	~~1~~	Prior to Release 2014.1 this section included Supervisor/PIC information. With 2014.1 this section will not include Supervisor/PICs as they are already listed in the Supervisor/PIC Information section. This mirrors the information filed on Form BR
REGISTRATION/NOTICE FILINGS	**Rgstns**		
REGISTRATION/NOTICE FILING	**Rgstn**		
Regulator	rgltr	20	
Branch Registration/Notice Filing Status	st	25	
Branch Registration/Notice Filing Status Date	stDt	10	
TYPE OF OFFICE	**TypeOfc**		
~~Indicates that the NYSE attestation section was selected~~	~~NYSEAttstFl~~	~~1~~	Legacy NYSE data being removed.
Type of Branch Office BD	typeOfcBDFl	1	
Type of Branch Office IA	typeOfcIAFl	1	
Office of Municipal Supervisory Jurisdiction (MSRB) Indication whether it is an Office of Municipal supervisory Jurisdiction as defined under MSRB rules.	MSRBMSJFl	1	
Office of Supervisory Jurisdiction (OSJ)	~~NASD~~OSJFl	1	Legacy NASD name removed.
Supervising OSJ Branches	**SprvgOSJs**		The previous version of Form BR only allowed entry of a single OSJ branch supervisor. This new version allows entry of multiple OSJ branches and also multple OSJ supervisors within a given branch. All data about supervising OSJs entered

Supervising OSJ Branch	**SprvgOSJ**		
CRD Branch Number of OSJ Branch that the Non-OSJ Branch is supervised from	sprvg~~NASD~~OSJBrnchPK	~~810~~	Legacy NASD name removed.
Firm Billing Code of OSJ Branch that the Non-OSJ Branch is supervised from	sprvg~~NASD~~OSJBllngCd	8	Legacy NASD name removed.
Supervisor CRD# of Supervisor at OSJ Branch that Non-OSJ Branch is supervised from	sprvg~~NASD~~OSJIndvlPK	10	Legacy NASD name removed.
Type of Activity of supervisor at OSJ branch that Non-OSJ branch is supervised from	sprvgOSJActvyDesc	512	
Name	**Nm**		
Supervisor Last Name	Last	25	
Supervisor First Name	first	25	
Supervisor Middle Name	mid	20	
Supervisor Suffix Name	suf	5	
~~NYSE Type of Office~~	~~NYSETypeOfc~~	~~7~~	Legacy NYSE data being removed.
~~NYSE CRD Branch Number of Regular Branch that Small Branch is supervised from~~	~~sprvgNYSEBrnchPK~~	~~27~~	Legacy NYSE data being removed.
~~NYSE Branch Code Number of Regular Branch that Small Branch is supervised from~~	~~sprvgNYSEBrnchCdNb~~	~~16~~	Legacy NYSE data being removed.
~~Firm Billing Code of Regular Branch that Small Branch is supervised from~~	~~sprvgNYSEBllngCd~~	~~8~~	Legacy NYSE data being removed.
~~Supervisor/PIC CRD# of Supervisor at Regular Branch that Small Branch is supervised from~~	~~sprvgNYSEIndvlPK~~	~~10~~	Legacy NYSE data being removed.
Supervisor/PIC Information	**SprvPICs**		
Supervisor/PIC Information	**SprvPIC**		
Supervisor/PIC CRD #	indvlPK	10	
Supervisor/PIC Type	roleCd	7	
Supervisor/PIC Start Date The effective date when the individual became a PIC at this branch as reported on the most recent filing.	sprvPICDt	10	
Indicates specific line of business for each Supervisor/PIC	actvyDesc	512	
Name	**Nm**		
Supervisor/PIC Last Name	last	25	
Supervisor/PIC First Name	first	25	
Supervisor/PIC Middle Name	mid	20	
Supervisor/PIC Suffix Name	suf	5	
TYPES OF FINANCIAL ACTIVITIES	FinActvys		Combined Investment Banking and Underwriting into a single value called "Investment Banking/Underwriting" and

			data entered into either of the old fields will be mapped into this new combined code value.
Financial Activity	**FinActvy**		
~~Sales~~	~~salesFl~~	~~1~~	Removed the flags in favor of activity codes (see actvyCd below) The old flags will be mapped to the associated code value.
~~Investment Banking/Underwriting~~	~~nvsmtBankgundrwFl~~	~~1~~	
~~Research~~	~~rsrchFl~~	~~1~~	
~~Market Making/Trading~~	~~mktMkngFl~~	~~1~~	
~~Back Office Operations~~	~~backOfcFl~~	~~1~~	
Activity Code	actvyCd	1	Allowed values • BCK_OFC-Back Office Operations • MM-Market Making/Trading • NVSMT_ADVSR-Investment Advisory Services • NVSMT_BANK_UNDRW-Investment Banking/Underwriting • PBLC_FNNC-Public Finance • RSRCH-Research • SALES-Sales • SALES_INSTL-Institutional • SALES_RTL-Retail • OTHER-Other
Other Description (Description of type of activity entered against 'Other'.)	othrDesc	512	
~~TYPES OF ACTIVITIES~~OTHER BUSINESS INFORMATION	~~TypeOfc~~ OthrBuss		
Other business activities Flag (Answer to the other investment-related activities question)	~~othrNvsmtFl~~ othrBusActvyFl	1	
~~Other activities description~~	~~othrNvsmtDesc~~	~~512~~	Moved from a single text area to discrete fields, and also allows multple business activities to be entered. See OtherBusActvy below for new fields. Existing data will be mapped to the "nm" attribute within OtherBusActvy.
Other Business Name(s) flag	othrBusNmFl	1	
Other Websites flag	othrWebFl	1	
OTHER BUSINESS ACTIVITIES	~~OthrBusActvs~~ OthrBusActvys		
Other Business Activity	**OtherBusActvy**		
Sequence Number of each Other Business Activity	seqNb	16	
Other Business Activity Name	nm	512	
Description of other investment-related activities	desc	512	

Indication whether the business activity is affiliated to the applicant - Flag	AffltFl	1	
OTHER BUSINESS NAMES	**OthrBusNms**		
Other Business Name	**OthrBusNm**		
Sequence Number of each Other Business Name	seqNb	16	
Other Business Name	nm	~~64~~128	
OTHER WEBSITES	**OthrWebs**		
Other Website	**OthrWeb**		
Sequence Number of each website address	seqNb	16	
Website Address	webAddr	2000	
BRANCH OFFICE ~~SHARED SPACE~~ ARRANGEMENTS	~~**shrOfc**~~ **Rgmnts**		
Occupies or shares space	shrOfcFl	1	
~~Name of the institution(s)~~	~~shrOfcNm~~	~~512~~	Moved from a single text area to discrete fields, and also allows multple shared entities to be entered. Any information entered in the existing question regarding space sharing will be mapped to the "nm" field below in ShrdEnttys.
Operate pursuant to agreement	undrCntrcFl	1	
~~Name of the entity(ies)~~	~~undrCntrcNm~~	~~512~~	Moved from a single text area to discrete fields, and also allows multple shared entities to be entered. Any information entered in the existing question regarding space sharing will be mapped to the "nm" field below in CntrcEnttys.
Primary responsibility employment decisions	empDcsnFl	1	
~~Assumes liability for own expenses~~	~~rgmntEnttyFl~~	~~1~~	This is removed from the new BR form.
Others responsible for paying expenses	~~assmLbltyXpnsFl~~ xpnsRspbyEnttyFl	1	
Explanation of the expense payment/financial interest arrangement:	~~rgmntEnttyDesc~~ xpnsEnttyDesc	512	
Other record locations?	rcrdsLocFl	1	This was moved here from the old NYSE section of the old BR form.
~~**BRANCH OFFICE SHARED OFFICE SPACE ARRANGEMENTS**~~	~~**shrOfcRgmnts**~~ **ShrdEnttys**		
Shared Office Entity	~~Shrs~~dEntty		
Sequence Number	seqNb	16	
Name of the institutions branch is sharing space with	~~shrOfcNm~~ nm	512	

CRD Number	crdPK	8	
Affiliate	affltdFl	1	
TYPE OF ENTITIES	**EnttyTypes**		
Type of Entity	**EnttyType**		
~~Type of entity – Other~~Entity Code	enttyCd	1	Allowed values: • **BANK-Bank** • **BD-Broker-Dealer** • **CMDTY-Commodities** • **CRDT-Credit Union** • **IA-Investment Adviser** • **INSRC-Insurance** • **OTHERFD-Other federally insured depository institution** • **RE-Real estate** • **SVNGSASCTN-Saving association** • **SVNGSBANK-Savings bank** • **OTHER-Other**
~~Type of~~ Entity – Other description	OthrDesc	512	
CONTRACT ~~ARRANGEMENTS~~ENTITIES	**~~CntreRgmnts~~ CntrcEnttys**		Moved from a single text area to discrete fields, and also allows multple contract entities to be entered. Any information entered in the existing question regarding space sharing will be mapped to the "nm" field below.
Sequence Number	seqNb		
Provide the name(s) of the entity or person with whom agreement or contract entered	~~undrCntrcNm~~ nm	512	
CRD Number of the entities with whom the agreement or contract was entered	crdPK	8	
Type of Entity with whom the agreement or contract was entered	type	20	
~~ARRANGEMENT ENTITIES~~	**~~RgmntEnttys~~ XpnsRspbyEnttys**	~~-~~	Renamed
Expense Responsible Entity	**~~RgmntEntty~~ XpnsRspbyEntty**		Renamed
Sequence Number of each Arrangement Entity	seqNb	16	
Name of organization or individual who is paying expenses or has a financial interest	nm	128	
Entity Type of who is paying expenses or has a financial interest	type	20	
CRD# of who is paying expenses or has a financial interest	crdPK	8	
Indication whether the entity who is paying expenses or has a financial interest is registered	rgstdFl	1	
EIN of person who is paying	EIN	20	

expenses or has a financial interest			
NYSE BRANCH INFORMATION	**NYSEInfo**	-	
Anticipated Date of Opening	opngDt	10	
If Anticipated Date of Opening was prior to filing date, explanation	opngDtExpln	512	
Est. open cost more than 10%	costGrtrTenYesFl	1	
If yes, cost of opening	costAmt	12.2	
Estimated # active accounts	actvAccnts	16	
Acquired from another BD?	acqrdFl	1	
Name of organization	acqrdOrgNm	128	
Date of Transaction	acqrdDt	10	
CRD # of on-site Sup/PIC	sprvgIndvlPK	10	
Options Business at Location?	optnFl	1	
CRD # of Options Sup	sprvgOptnIndvlPK	10	
Information barriers in place?	infoBarrFl	1	
Is this office to be listed in the NYSE Bulletin	listNYSEBltnFl	1	
Share office with other org?	shrOfcFl	1	
Other record locations?	rcrdsLocFl	1	This was moved from the old NYSEInfo section to Section 4 above.
RECORDS LOCATIONS	**RcrdsLocs**		This was moved from the old NYSEInfo section to Section 4.
RECORDS LOCATION	**RcrdsLoc**		
Sequence Number	seqNb	16	
Record Location contact First Name	cntctFirstNm	25	
Record Location contact Last Name	cntctLastNm	25	
Record Location contact Email Address	cntctEmailAddr	128	
Record Location Telephone Number	phone	27	
ADDRESS	**Addr**		
Record Location Street Address1	strt1	50	
Record Location Street Address 2	strt2	50	
Record Location City	city	50	
Record Location State	state	2	
Record Location Country	cntry	3	
Record Location Postal Code	postlCd	11	
CERTIFICATE LOCATION	**CertLoc**	-	
Certificate Name (Name where branch office certificates will be sent, if different from this branch office address)	nm	128	
ADDRESS	**Addr**	-	
Certificate Street Address1	strt1	50	
Certificate Street Address 2	strt2	50	
Certificate City	city	50	
Certificate State	state	2	
Certificate Country	cntry	3	
Certificate Postal Code	postlCd	11	
OFFICES SHARING	**ShrOfcs**	-	
OFFICE SHARING	**ShrOfc**	-	
Sequence Number of each Office Sharing	seqNb	16	
Name of Entity Office Sharing with	nm	128	
CRD # of Entity Office Sharing with	crdPK	8	

Updated on May 2, 2014

Office Sharing - As a clearing member organization we intend to furnish office space, telephone or other facilities to our introducing non-clearing member organization.	shrClrgFl	1	
Office Sharing - the arrangement is not contrary to the rules of any self-regulatory organization;	notCntryFl	1	
Office Sharing - there is little or no customer traffic in the office of either organization;	fewCustFl	1	
Office Sharing - sufficient separation exists to enable customers who do visit to identify the individual or organization with which they are transacting business;	sprtnCustFl	1	
Office Sharing - employees can be clearly identified as to their respective employer;	empIdFl	1	
Office Sharing - clearance has been obtained from the member organization's fidelity insurance carrier and auditors.	clrcObtndFl	1	
Office Sharing - such space is separated by ceiling-high solid walls	highWallFl	1	
Office Sharing - such space has direct access to a public hall, main corridor or street;	accssHallFl	1	
Office Sharing - the name of each organization is placed on the door to such space;	doorIdFl	1	
Office Sharing - there are no connecting doors or windows between the space to be jointly occupied	noCnctgDoorFl	1	
Office Sharing - the names are not listed under the same telephone number, and the telephone number of the member is not used on the letterhead or on any advertising of any other member or non-member.	sprtPhoneFl	1	
Office Sharing - We intend to share office space with a person who is neither a broker nor a dealer, nor an investment advisor, nor a person who otherwise conducts securities or commodities business with the public.	nonBDIAFl	1	
Office Sharing Floor #	flrNb	32	
Office Sharing Comments	cmmnts	2000	