CRD BR Form Filing Schema Definition Document

- XML Guide

Release 2014.1

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- Glossary

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Change History

Release 2014.1

04/05/2014

There are significant changes to the Form BR schema to conform to the new form version "04/2014". Please refer to the Release 2014.1 Impact to WebEFT presentation and related documents posted on www.finra.org/webeft.

04/14/2014 (Release 2014.1.4)

Removed the unique key for SupervisingOSJSupervisorCRDNumber. The uniqueness will be enforced on combination of SupervisingOSJSupervisorCRDNumber and SupervisingOSJBranchCRDNumber via completeness check.

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Introduction

Web EFT is a system provided by FINRA that transfers information across the Internet in the form of uploads and downloads to and from external users. It will offer users the ability to upload batch data to FINRA, either automatically without user-intervention, or interactively by logging-in to a website. Web EFT will also post reports containing the results of the processing.

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Schema Reference Legend

How to Read Schema Reference Pages

The following "Address Type" schema element is provided with annotations that explain the layout and content of the actual schema elements and types in the remainder of the *Schema Reference* sections of this document.

Complex Type: **AddressType**
Schema Component Type — Schema Component Name

Super-types:	None
Sub-types:	PrivateAddressType (by extension)

If this schema component is a type definition, its type hierarchy is shown in a gray-bordered box.

Name	AddressType
Abstract	no

The table above displays the properties of this schema component.

XML Instance Representation

```
<...
 Street1="StringRestricted50Type[1]"
 Street2="StringRestricted50Type[0..1]"
 City="StringRestricted50Type[1]"
 State="StateCodeType[0..1]"
 Country="CountryCodeType[1]"
 PostalCode="StringRestricted11Type[0..1]"
 Phone="StringRestricted27Type[0..1]"
 Fax="StringRestricted27Type[0..1]" />
```

The XML Instance Representation table above shows the schema component's content as an XML instance.

- The minimum and maximum occurrence of elements and attributes are provided in square brackets, e.g. [0..1].
- Model group information are shown in gray.
- For type derivations, the elements and attributes that have been added to or changed from the base type's content are shown in **bold**.
- If an element/attribute has a fixed value, the fixed value is shown in green.
- Otherwise, the type of the element/attribute is displayed.
  - If the element/attribute's type is in the schema, a link is provided to it.
  - For local simple type definitions, the constraints are displayed in angle brackets.

Schema Component Representation

```
<xsd:complexType name="AddressType">
  <xsd:attribute name="Street1" type="StringRestricted50Type>
  <xsd:attribute name="Street2" type="StringRestricted50Type" minOccurs="0"/>
  <xsd:attribute name="City" type="StringRestricted50Type>
  <xsd:attribute name="State" type="StateCodeType" minOccurs="0"/>
  <xsd:attribute name="Country" type="CountryCodeType>
  <xsd:attribute name="PostalCode" type="StringRestricted11Type" minOccurs="0"/>
  <xsd:attribute name="Phone" type="StringRestricted27Type" minOccurs="0"/>
  <xsd:attribute name="Fax" type="StringRestricted27Type" minOccurs="0"/>
</xsd:complexType>
```

The Schema Component Representation table above displays the underlying XML representation of the schema component. (Annotations are not shown.)

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Schema Properties

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Global Declarations

Element: NSGBatch

Name	NSGBatch
Type	Locally-defined complex type
Nillable	no
Abstract	no

XML Instance Representation

```
<NSGBatch
 UserBatchRef="xsd:string (length >= 1) (Whitespace policy: collapse)[1]"
 Email="xsd:string (length >= 5) (Whitespace policy: collapse)[0..1]">
   <NSGRequest
    AppId="xsd:NMTOKEN (value comes from list: {'CRDFF'})[1]"
    UserReqRef="xsd:string (length >= 1) (Whitespace policy: collapse)[0..1]"> [1..5000]
      <BRXMLFiling> BRXMLFilingType </BRXMLFiling> [1]
   </NSGRequest>
</NSGBatch>
```

Schema Component Representation

```
<xs:element name="NSGBatch">
  <xs:complexType>
    <xs:sequence>
      <xs:element name="NSGRequest" maxOccurs="5000">
        <xs:complexType>
          <xs:sequence>
            <xs:element name="BRXMLFiling" type="BRXMLFilingType"/>
          </xs:sequence>
          <xs:attribute name="AppId" use="required">
            <xs:simpleType>
              <xs:restriction base="xsd:NMTOKEN">
                <xs:enumeration value="CRDFF"/>
              </xs:restriction>
            </xs:simpleType>
          </xs:attribute>
          <xs:attribute name="UserReqRef" use="optional">
            <xs:simpleType>
              <xs:restriction base="xsd:string">
                <xs:minLength value="1"/>
                <xs:maxLength value="128"/>
                <xs:whiteSpace value="collapse"/>
              </xs:restriction>
            </xs:simpleType>
          </xs:attribute>
        </xs:complexType>
      </xs:element>
    </xs:sequence>
    <xs:attribute name="UserBatchRef" use="required">
      <xs:simpleType>
        <xs:restriction base="xsd:string">
          <xs:minLength value="1"/>
          <xs:maxLength value="128"/>
          <xs:whiteSpace value="collapse"/>
        </xs:restriction>
      </xs:simpleType>
    </xs:attribute>
    <xs:attribute name="Email" use="optional">
      <xs:simpleType>
        <xs:restriction base="xsd:string">
          <xs:minLength value="5"/>
          <xs:maxLength value="128"/>
          <xs:whiteSpace value="collapse"/>
        </xs:restriction>
      </xs:simpleType>
    </xs:attribute>
  </xs:complexType>
</xs:element>
```

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Global Definitions

Complex Type: AddressType

Super-types:	None
Sub-types:	PrivateAddressType (by extension)

Name	AddressType
Abstract	no

XML Instance Representation

```
<...>
   <!-- Address - Street 1 -->
   <Street1> StringRestricted50Type </Street1> [0..1]
   <!-- Address - Street 2 -->
   <Street2> StringRestricted50Type </Street2> [0..1]
   <!-- Address - City -->
   <City> StringRestricted50Type </City> [0..1]
   <!-- Address - State Code -->
   <State> StateCodeType </State> [0..1]
   <!-- Address - Country Code -->
   <Country> CountryCodeType </Country> [0..1]
   <!-- Address - Zip/Postal Code -->
   <PostalCode> StringRestricted11Type </PostalCode> [0..1]
</...>
```

Schema Component Representation

```
<xs:complexType name="AddressType">
   <xs:sequence>
      <xs:element name="Street1" type="StringRestricted50Type" minOccurs="0"/>
      <xs:element name="Street2" type="StringRestricted50Type" minOccurs="0"/>
      <xs:element name="City" type="StringRestricted50Type" minOccurs="0"/>
      <xs:element name="State" type="StateCodeType" minOccurs="0"/>
      <xs:element name="Country" type="CountryCodeType" minOccurs="0"/>
      <xs:element name="PostalCode" type="StringRestricted11Type" minOccurs="0"/>
   </xs:sequence>
</xs:complexType>
```

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Complex Type: ArrangementContractEntitiesType

Super-types:	None
Sub-types:	None

Name	ArrangementContractEntitiesType
Abstract	no

XML Instance Representation

```
<...>
   <ArrangementContractEntity> ArrangementContractEntityType </ArrangementContractEntity> [0..*]
</...>
```

Schema Component Representation

```
<xs:complexType name="ArrangementContractEntitiesType">
   <xs:sequence>
      <xs:element name="ArrangementContractEntity" type="ArrangementContractEntityType" minOccurs="0"
      maxOccurs="unbounded"/>
   </xs:sequence>
</xs:complexType>
```

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Complex Type: ArrangementContractEntityType

Super-types:	None
Sub-types:	None

Name	ArrangementContractEntityType
Abstract	no

XML Instance Representation

```
<...>
  Start All[1]
    <!-- Unique number that identifies existing record -->
    <SequenceNumber> PositiveIntRestricted10Type </SequenceNumber> [0..1]
    <EntityCRDNumber> [0..1]
      <!-- 4.B. CRD Number -->
      <Value> PositiveIntRestricted8Type </Value> [1]
    </EntityCRDNumber>
    <!-- 4.B. Type of Person -->
    <EntityTypeCode> EntityTypeCodeType </EntityTypeCode> [0..1]
    <!-- 4.B. Name -->
    <EntityName> StringRestricted512Type </EntityName> [0..1]
    <!-- 4.B. To specify if record is for Insert/Update/delete -->
    <CrudCode> CrudCodeType </CrudCode> [1]
  End All
</...>
```

Schema Component Representation

```
<xs:complexType name="ArrangementContractEntityType">
  <xs:all>
    <xs:element name="SequenceNumber" type="PositiveIntRestricted10Type" minOccurs="0"/>
    <xs:element name="EntityCRDNumber" minOccurs="0">
      <xs:complexType>
        <xs:sequence>
          <xs:element name="Value" type="PositiveIntRestricted8Type" nillable="true" minOccurs="1" maxOccurs="1"/>
        </xs:sequence>
      </xs:complexType>
    </xs:element>
    <xs:element name="EntityTypeCode" type="EntityTypeCodeType" minOccurs="0"/>
    <xs:element name="EntityName" type="StringRestricted512Type" minOccurs="0" maxOccurs="1"/>
    <xs:element name="CrudCode" type="CrudCodeType" minOccurs="1" maxOccurs="1"/>
  </xs:all>
</xs:complexType>
```

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Complex Type: ArrangementExpenseEntitiesType

Super-types:	None
Sub-types:	None

Name	ArrangementExpenseEntitiesType
Abstract	no

XML Instance Representation

```
<...>
  <ArrangementExpenseEntity> ArrangementExpenseEntityType </ArrangementExpenseEntity> [0..*]
</...>
```

Schema Component Representation

```
<xs:complexType name="ArrangementExpenseEntitiesType">
  <xs:sequence>
    <xs:element name="ArrangementExpenseEntity" type="ArrangementExpenseEntityType" minOccurs="0"
    maxOccurs="unbounded"/>
  </xs:sequence>
</xs:complexType>
```

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Complex Type: ArrangementExpenseEntityType

Super-types:	None
Sub-types:	None

Name	ArrangementExpenseEntityType
Abstract	no

XML Instance Representation

```
<...>
  Start All[1]
    <!-- Unique number that identifies existing record -->
    <SequenceNumber> PositiveIntRestricted10Type </SequenceNumber> [0..1]
    <!-- 4.D.(a). Name -->
    <EntityName> StringRestricted128Type </EntityName> [0..1]
    <EntityCRDNumber> [0..1]
      <!-- 4.D.(a). CRD Number -->
      <Value> PositiveIntRestricted8Type </Value> [1]
    </EntityCRDNumber>
    <!-- 4.D.(a). EIN -->
    <EntityEIN> StringRestricted20Type </EntityEIN> [0..1]
    <!-- 4.D.(a). Type of Person -->
    <EntityTypeCode> EntityTypeCodeType </EntityTypeCode> [0..1]
    <!-- 4.D.(a). Registered (Y/N) -->
    <EntityRegisteredFlag> BooleanYNType </EntityRegisteredFlag> [0..1]
    <!-- 4.D.(a). To specify if record is for Insert/Update/delete -->
    <CrudCode> CrudCodeType </CrudCode> [1]
  End All
</...>
```

Schema Component Representation

```
<xs:complexType name="ArrangementExpenseEntityType">
  <xs:all>
    <xs:element name="SequenceNumber" type="PositiveIntRestricted10Type" minOccurs="0"/>
    <xs:element name="EntityName" type="StringRestricted128Type" minOccurs="0"/>
    <xs:element name="EntityCRDNumber" minOccurs="0">
      <xs:complexType>
        <xs:sequence>
          <xs:element name="Value" type="PositiveIntRestricted8Type" nillable="true" minOccurs="1" maxOccurs="1"/>
        </xs:sequence>
      </xs:complexType>
    </xs:element>
    <xs:element name="EntityEIN" type="StringRestricted20Type" minOccurs="0" maxOccurs="1"/>
    <xs:element name="EntityTypeCode" type="EntityTypeCodeType" minOccurs="0"/>
    <xs:element name="EntityRegisteredFlag" type="BooleanYNType" minOccurs="0"/>
    <xs:element name="CrudCode" type="CrudCodeType" minOccurs="1" maxOccurs="1"/>
  </xs:all>
</xs:complexType>
```

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Complex Type: ArrangementSharedEntitiesType

Super-types:	None
Sub-types:	None

Name	ArrangementSharedEntitiesType
Abstract	no

XML Instance Representation

```
<...>
  <ArrangementSharedEntity> ArrangementSharedEntityType </ArrangementSharedEntity> [0..*]
</...>
```

Schema Component Representation

```
<xs:complexType name="ArrangementSharedEntitiesType">
  <xs:sequence>
    <xs:element name="ArrangementSharedEntity" type="ArrangementSharedEntityType" minOccurs="0" maxOccurs="unbounded"/>
  </xs:sequence>
</xs:complexType>
```

Complex Type: ArrangementSharedEntityType

Super-types:	None
Sub-types:	None

Name	ArrangementSharedEntityType
Abstract	no

XML Instance Representation

```
<...>
  Start All[1]
    <!-- Unique number that identifies existing record -->
    <SequenceNumber> PositiveIntRestricted10Type </SequenceNumber> [0..1]
    <OfficeSharedWithOrganizationCRDNumber> [0..1]
      <!-- 4.A. CRD Number -->
      <Value> PositiveIntRestricted8Type </Value> [1]
    </OfficeSharedWithOrganizationCRDNumber>
    <!-- 4.A. Name -->
    <OfficeSharedWithOrganizationName> StringRestricted512Type </OfficeSharedWithOrganizationName> [0..1]
    <!-- 4.A. Affiliate -->
    <OfficeSharedWithAffiliateFlag> BooleanYNType </OfficeSharedWithAffiliateFlag> [0..1]
    <!-- 4.A. Shared With Entity Type -->
    <SharedWithBrokerDealer> xs:boolean </SharedWithBrokerDealer> [0..1]
    <!-- 4.A. Shared With Entity Type -->
    <SharedWithInvestmentAdviser> xs:boolean </SharedWithInvestmentAdviser> [0..1]
    <!-- 4.A. Shared With Entity Type -->
    <SharedWithCommodities> xs:boolean </SharedWithCommodities> [0..1]
    <!-- 4.A. Shared With Entity Type -->
    <SharedWithBank> xs:boolean </SharedWithBank> [0..1]
    <!-- 4.A. Shared With Entity Type -->
    <SharedWithCreditUnion> xs:boolean </SharedWithCreditUnion> [0..1]
    <!-- 4.A. Shared With Entity Type -->
    <SharedWithSavingsBank> xs:boolean </SharedWithSavingsBank> [0..1]
    <!-- 4.A. Shared With Entity Type -->
    <SharedWithSavingsAssociation> xs:boolean </SharedWithSavingsAssociation> [0..1]
    <!-- 4.A. Shared With Entity Type -->
    <SharedWithFederallyInsuredInstitution> xs:boolean </SharedWithFederallyInsuredInstitution> [0..1]
    <!-- 4.A. Shared With Entity Type -->
    <SharedWithInsurance> xs:boolean </SharedWithInsurance> [0..1]
    <!-- 4.A. Shared With Entity Type -->
    <SharedWithRealEstate> xs:boolean </SharedWithRealEstate> [0..1]
    <!-- 4.A. Shared With Entity Type -->
    <SharedWithOther> xs:boolean </SharedWithOther> [0..1]
    <!-- 4.A. Name -->
    <SharedWithOtherDescription> StringRestricted512Type </SharedWithOtherDescription> [0..1]
    <!-- 4.A To specify if record is for Insert/Update/delete -->
    <CrudCode> CrudCodeType </CrudCode> [1]
  End All
</...>
```

Schema Component Representation

```
<xs:complexType name="ArrangementSharedEntityType">
  <xs:all>
    <xs:element name="SequenceNumber" type="PositiveIntRestricted10Type" minOccurs="0"/>
    <xs:element name="OfficeSharedWithOrganizationCRDNumber" minOccurs="0">
      <xs:complexType>
        <xs:sequence>
          <xs:element name="Value" type="PositiveIntRestricted8Type" nillable="true" minOccurs="1" maxOccurs="1"/>
        </xs:sequence>
      </xs:complexType>
    </xs:element>
    <xs:element name="OfficeSharedWithOrganizationName" type="StringRestricted512Type" minOccurs="0" maxOccurs="1"/>
    <xs:element name="OfficeSharedWithAffiliateFlag" type="BooleanYNType" minOccurs="0" maxOccurs="1"/>
    <xs:element name="SharedWithBrokerDealer" type="xs:boolean" minOccurs="0" maxOccurs="1"/>
    <xs:element name="SharedWithInvestmentAdviser" type="xs:boolean" minOccurs="0" maxOccurs="1"/>
    <xs:element name="SharedWithCommodities" type="xs:boolean" minOccurs="0" maxOccurs="1"/>
    <xs:element name="SharedWithBank" type="xs:boolean" minOccurs="0" maxOccurs="1"/>
    <xs:element name="SharedWithCreditUnion" type="xs:boolean" minOccurs="0" maxOccurs="1"/>
    <xs:element name="SharedWithSavingsBank" type="xs:boolean" minOccurs="0" maxOccurs="1"/>
    <xs:element name="SharedWithSavingsAssociation" type="xs:boolean" minOccurs="0" maxOccurs="1"/>
    <xs:element name="SharedWithFederallyInsuredInstitution" type="xs:boolean" minOccurs="0" maxOccurs="1"/>
    <xs:element name="SharedWithInsurance" type="xs:boolean" minOccurs="0" maxOccurs="1"/>
    <xs:element name="SharedWithRealEstate" type="xs:boolean" minOccurs="0" maxOccurs="1"/>
    <xs:element name="SharedWithOther" type="xs:boolean" minOccurs="0" maxOccurs="1"/>
    <xs:element name="SharedWithOtherDescription" type="StringRestricted512Type" minOccurs="0" maxOccurs="1"/>
    <xs:element name="CrudCode" type="CrudCodeType" minOccurs="1" maxOccurs="1"/>
  </xs:all>
</xs:complexType>
```

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Complex Type: ArrangementType

Super-types:	None
Sub-types:	None

Name	ArrangementType
Abstract	no

XML Instance Representation

```
<...>
  Start All[1]
    <!-- 4.A. Does this branch office occupy or share space with or jointly market with any other investment- related
    entity -->
    <OfficeSharedWithOthersFlag> xs:boolean </OfficeSharedWithOthersFlag> [0..1]
    <!-- 4.B. Is this branch office a business location that operates pursuant to a written agreement or contract
    (other than an insurance agency agreement) with the main office -->
    <OperatesUndercontractFlag> xs:boolean </OperatesUndercontractFlag> [0..1]
    <!-- 4.C. Does this branch office have primary responsibility for decisions relating to the employment and
    remuneration of its associated individuals at this location -->
    <PrimaryResponsibilityForEmploymentFlag> xs:boolean </PrimaryResponsibilityForEmploymentFlag> [0..1]
    <!-- 4.D. Does any person other than the applicant have responsibility, directly or indirectly, for paying the
    expenses of this branch office or otherwise have a financial interest in this branch office or its activities -->
    <OtherExpenseResponsibilityFlag> xs:boolean </OtherExpenseResponsibilityFlag> [0..1]
    <!-- 4.D.(b). Provide an explanation of the expense payment/financial interest arrangement -->
    <ExpenseArrangementDescription> StringRestricted512Type </ExpenseArrangementDescription> [0..1]
    <!-- 4.E. Are any of the records pertaining to this branch office maintained at any other location, other than this
    office, the main office, or in the case of a non-OSJ, its supervisory OSJ -->
    <RecordsAtOtherLocationFlag> xs:boolean </RecordsAtOtherLocationFlag> [0..1]
    <!-- 4.A. Office Arrangements Shared List -->
    <ArrangementSharedEntities> ArrangementSharedEntitiesType </ArrangementSharedEntities> [0..1]
    <!-- 4.B. Office Arrangements Contract List -->
    <ArrangementContractEntities> ArrangementContractEntitiesType </ArrangementContractEntities> [0..1]
    <!-- 4.D. Office Arrangements Entity List -->
    <ArrangementExpenseEntities> ArrangementExpenseEntitiesType </ArrangementExpenseEntities> [0..1]
    <!-- 4.E. Office Arrangements Records List -->
    <ArrangementRecordLocations> RecordLocationsType </ArrangementRecordLocations> [0..1]
  End All
</...>
```

Schema Component Representation

```
<xs:complexType name="ArrangementType">
  <xs:all>
    <xs:element name="OfficeSharedWithOthersFlag" type="xs:boolean" minOccurs="0"/>
    <xs:element name="OperatesUndercontractFlag" type="xs:boolean" minOccurs="0"/>
    <xs:element name="PrimaryResponsibilityForEmploymentFlag" type="xs:boolean" minOccurs="0"/>
    <xs:element name="OtherExpenseResponsibilityFlag" type="xs:boolean" minOccurs="0"/>
    <xs:element name="ExpenseArrangementDescription" type="StringRestricted512Type" minOccurs="0"/>
    <xs:element name="RecordsAtOtherLocationFlag" type="xs:boolean" minOccurs="0"/>
    <xs:element name="ArrangementSharedEntities" type="ArrangementSharedEntitiesType" minOccurs="0" maxOccurs="1"/>
    <xs:element name="ArrangementContractEntities" type="ArrangementContractEntitiesType" minOccurs="0" maxOccurs="1"/>
    <xs:element name="ArrangementExpenseEntities" type="ArrangementExpenseEntitiesType" minOccurs="0" maxOccurs="1"/>
    <xs:element name="ArrangementRecordLocations" type="RecordLocationsType" minOccurs="0" maxOccurs="1"/>
  </xs:all>
</xs:complexType>
```

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Complex Type: AssociatedIndividualsType

Super-types:	None
Sub-types:	None

Name	AssociatedIndividualsType
Abstract	no
Documentation	5. Associated Individuals

XML Instance Representation

```
<...>
  Start All[1]
    <!-- CRD Number -->
    <IndividualCrdNumber> PositiveIntRestricted10Type </IndividualCrdNumber> [0..1]
  End All
</...>
```

Schema Component Representation

```
<xs:complexType name="AssociatedIndividualsType">
  <xs:all>
    <xs:element name="IndividualCrdNumber" type="PositiveIntRestricted10Type" minOccurs="0"/>
  </xs:all>
</xs:complexType>
```

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Complex Type: BRXMLFilingType

Super-types:	None
Sub-types:	None

Name	BRXMLFilingType
Abstract	no

XML Instance Representation

```
<...>
  Start All[1]
    <!-- Filing Type for the Form BR filing
         Allowed values (code-description) are:
         INITIAL - Initial Filing
         AMENDMENT - Amendment Filing
         CLOSURE - Closure/ Withdrawal / Closure and Withdrawal Filing -->
    <FilingType> stringPreserveWhiteSpaces (value comes from list: {'INITIAL' | 'AMENDMENT' | 'CLOSURE'}) </FilingType>
    [1]
    <!-- Form Version -->
    <Version> stringPreserveWhiteSpaces (value comes from list: {'04/2014'}) </Version> [1]
    <!-- Filing Firm CRD Number -->
    <FirmCRDNumber> PositiveIntRestricted8Type </FirmCRDNumber> [1]
    <!-- Filing Firm Branch CRD Number -->
    <BranchCRDNumber> PositiveIntRestricted10Type </BranchCRDNumber> [0..1]
    <!-- 1. General Information -->
    <Section1GeneralInformation> GeneralInformationType </Section1GeneralInformation> [0..1]
    <!-- 2. Registration/Notice Filing/Type of Office/Activities -->
    <Section2Registration> RegistrationType
      <!--
      Key Constraint - UniqueSupervisorCRD
      Selector - .//Supervisor
      Field(s) - SupervisorPicCRDNumber
      -->
      <!--
      Key Constraint - UniquePICCRD
      Selector - .//PersonInCharge
      Field(s) - SupervisorPicCRDNumber
      -->
    </Section2Registration> [0..1]
    <!-- 3. Types Of Activities/Other Business Names/Websites -->
    <Section3OtherBusiness> OtherBusinessType </Section3OtherBusiness> [0..1]
    <!-- 4. Branch Office Arrangements -->
    <Section4Arrangement> ArrangementType </Section4Arrangement> [0..1]
    <!-- 5. Associated Individuals -->
    <Section5AssociatedIndividuals> [0..1]
      <!--
      Key Constraint - UniqueAssociatedIndividualsCRD
      Selector - AssociatedIndividual
      Field(s) - IndividualCrdNumber
      -->

      <AssociatedIndividual> AssociatedIndividualsType </AssociatedIndividual> [0..*]
    </Section5AssociatedIndividuals>
    <!-- 6. Branch Office Closing -->
    <Section6Closing> ClosingType </Section6Closing> [0..1]
    <!-- 7. Branch Office Withdrawal -->
    <Section7Withdrawal> WithdrawalType </Section7Withdrawal> [0..1]
    <!-- 8. Signature -->
    <Section8Signature> SignatureType </Section8Signature> [0..1]
  End All
</...>
```

Schema Component Representation

```
<xs:complexType name="BRXMLFilingType">
  <xs:all>
    <xs:element name="FilingType">
      <xs:simpleType>
        <xs:restriction base="stringPreserveWhiteSpaces">
          <xs:enumeration value="INITIAL"/>
          <xs:enumeration value="AMENDMENT"/>
          <xs:enumeration value="CLOSURE"/>
        </xs:restriction>
      </xs:simpleType>
    </xs:element>
    <xs:element name="Version" minOccurs="1" maxOccurs="1">
      <xs:simpleType>
        <xs:restriction base="stringPreserveWhiteSpaces">
          <xs:enumeration value="04/2014"/>
        </xs:restriction>
      </xs:simpleType>
    </xs:element>
    <xs:element name="FirmCRDNumber" type="PositiveIntRestricted8Type" minOccurs="1" maxOccurs="1"/>
    <xs:element name="BranchCRDNumber" type="PositiveIntRestricted10Type" minOccurs="0" maxOccurs="1"/>
    <xs:element name="Section1GeneralInformation" type="GeneralInformationType" minOccurs="0" maxOccurs="1"/>
    <xs:element name="Section2Registration" type="RegistrationType" minOccurs="0" maxOccurs="1">
      <xs:key name="UniqueSupervisorCRD">
        <xs:selector xpath=".//Supervisor"/>
        <xs:field xpath="SupervisorPicCRDNumber"/>
      </xs:key>
      <xs:key name="UniquePICCRD">
        <xs:selector xpath=".//PersonInCharge"/>
        <xs:field xpath="SupervisorPicCRDNumber"/>
      </xs:key>
    </xs:element>
    <xs:element name="Section3OtherBusiness" type="OtherBusinessType" minOccurs="0" maxOccurs="1"/>
    <xs:element name="Section4Arrangement" type="ArrangementType" minOccurs="0" maxOccurs="1"/>
    <xs:element name="Section5AssociatedIndividuals" minOccurs="0" maxOccurs="1">
      <xs:complexType>
        <xs:sequence>
          <xs:element name="AssociatedIndividual" type="AssociatedIndividualsType" minOccurs="0"
          maxOccurs="unbounded"/>
        </xs:sequence>
      </xs:complexType>
      <xs:key name="UniqueAssociatedIndividualsCRD">
        <xs:selector xpath="AssociatedIndividual"/>
        <xs:field xpath="IndividualCrdNumber"/>
      </xs:key>
    </xs:element>
    <xs:element name="Section6Closing" type="ClosingType" minOccurs="0" maxOccurs="1"/>
    <xs:element name="Section7Withdrawal" type="WithdrawalType" minOccurs="0" maxOccurs="1"/>
    <xs:element name="Section8Signature" type="SignatureType" minOccurs="0" maxOccurs="1"/>
  </xs:all>
</xs:complexType>
```

Table of Contents

Complex Type: ClosingType

Super-types:	None
Sub-types:	None

Name	ClosingType
Abstract	no

XML Instance Representation

```
<...>
  Start All[1]
    <!-- 6.A. Date operations ceased or will cease at this branch office -->
    <OperationsCeasedDate> xs:date </OperationsCeasedDate> [1]
    <!-- 6.B. Location(s) of Books and Records -->
    <ClosingRecordLocations> RecordLocationsType </ClosingRecordLocations> [0..1]
  End All
</...>
```

Schema Component Representation

```
<xs:complexType name="ClosingType">
  <xs:all>
    <xs:element name="OperationsCeasedDate" type="xs:date" nillable="true" minOccurs="1"/>
    <xs:element name="ClosingRecordLocations" type="RecordLocationsType" minOccurs="0" maxOccurs="1"/>
  </xs:all>
</xs:complexType>
```

Table of Contents

Complex Type: GeneralInformationType

Super-types:	None
Sub-types:	None

Name	GeneralInformationType
Abstract	no
Documentation	This is the General Information section of the BR Form

XML Instance Representation

```
<...>
  Start All[1]
    <!-- 1.C. The firm billing code of this branch office. -->
    <BranchBillingCode> StringRestricted8Type </BranchBillingCode> [0..1]
    <!-- 1.D. The Branch code number of the branch office. -->
    <BranchCodeNumber> StringRestricted15Type </BranchCodeNumber> [0..1]
    <!-- 1.F. The address of this branch office. -->
    <BranchAddress> PrivateAddressType </BranchAddress> [0..1]
    <!-- 1.F. The Phone Number of this branch office. -->
    <BranchPhone> StringRestricted27Type </BranchPhone> [0..1]
    <!-- 1.F. The Facsimile number of this branch office. -->
    <BranchFax> StringRestricted27Type </BranchFax> [0..1]
  End All
</...>
```

Schema Component Representation

```
<xs:complexType name="GeneralInformationType">
  <xs:all>
    <xs:element name="BranchBillingCode" type="StringRestricted8Type" minOccurs="0"/>
    <xs:element name="BranchCodeNumber" type="StringRestricted15Type" minOccurs="0"/>
    <xs:element name="BranchAddress" type="PrivateAddressType" minOccurs="0"/>
    <xs:element name="BranchPhone" type="StringRestricted27Type" minOccurs="0"/>
    <xs:element name="BranchFax" type="StringRestricted27Type" minOccurs="0"/>
  </xs:all>
</xs:complexType>
```

Table of Contents

Complex Type: OtherBusinessActivitiesType

Super-types:	None
Sub-types:	None

Name	OtherBusinessActivitiesType
Abstract	no

XML Instance Representation

```
<...>
  <OtherBusinessActivity> OtherBusinessActivityType </OtherBusinessActivity> [0..*]
</...>
```

Schema Component Representation

```
<xs:complexType name="OtherBusinessActivitiesType">
  <xs:sequence>
    <xs:element name="OtherBusinessActivity" type="OtherBusinessActivityType" minOccurs="0" maxOccurs="unbounded"
    nillable="true"/>
  </xs:sequence>
</xs:complexType>
```

Table of Contents

Complex Type: OtherBusinessActivityType

Super-types:	None
Sub-types:	None

Name	OtherBusinessActivityType
Abstract	no

XML Instance Representation

```
<...>
  Start All[1]
    <!-- Unique number that identifies existing record -->
    <SequenceNumber> PositiveIntRestricted10Type </SequenceNumber> [0..1]
    <!-- 3.A.(2). Other Business Activity - Name -->
    <OtherBusinessActivityName> StringRestricted512Type </OtherBusinessActivityName> [0..1]
    <!-- 3.A.(2). Other Business Activity - Description -->
    <OtherBusinessActivityDescription> StringRestricted512Type </OtherBusinessActivityDescription> [0..1]
    <!-- 3.A.(2). Other Business Activity - Affiliate -->
    <OtherBusinessActivityAffiliatedToFirmFlag> StringRestricted1Type </OtherBusinessActivityAffiliatedToFirmFlag>
    [0..1]
    <!-- 3.A.(2). To specify if record is for Insert/Update/delete -->
    <CrudCode> CrudCodeType </CrudCode> [1]
  End All
</...>
```

Schema Component Representation

```
<xs:complexType name="OtherBusinessActivityType">
  <xs:all>
    <xs:element name="SequenceNumber" type="PositiveIntRestricted10Type" minOccurs="0"/>
    <xs:element name="OtherBusinessActivityName" type="StringRestricted512Type" minOccurs="0" maxOccurs="1"/>
    <xs:element name="OtherBusinessActivityDescription" type="StringRestricted512Type" minOccurs="0" maxOccurs="1"/>
    <xs:element name="OtherBusinessActivityAffiliatedToFirmFlag" type="StringRestricted1Type" minOccurs="0"
    maxOccurs="1"/>
    <xs:element name="CrudCode" type="CrudCodeType" minOccurs="1" maxOccurs="1"/>
  </xs:all>
</xs:complexType>
```

Table of Contents

Complex Type: OtherBusinessNamesType

Super-types:	None
Sub-types:	None

Name	OtherBusinessNamesType
Abstract	no

XML Instance Representation

```
<...>
  <OtherBusinessName> OtherBusinessNameType </OtherBusinessName> [0..*]
</...>
```

Schema Component Representation

```
<xs:complexType name="OtherBusinessNamesType">
  <xs:sequence>
    <xs:element name="OtherBusinessName" type="OtherBusinessNameType" minOccurs="0" maxOccurs="unbounded"
    nillable="true"/>
  </xs:sequence>
</xs:complexType>
```

Table of Contents

Complex Type: OtherBusinessNameType

Super-types:	None
Sub-types:	None

Name	OtherBusinessNameType
Abstract	no

XML Instance Representation

```
<...>
  Start All[1]
    <!-- Unique number that identifies existing record -->
    <SequenceNumber> PositiveIntRestricted10Type </SequenceNumber> [0..1]
    <!-- 3.B.(2). Other Business Names - Name -->
    <OtherBusinessName> StringRestricted128Type </OtherBusinessName> [0..1]
    <!-- 3.B.(2). To specify if record is for Insert/Update/delete -->
    <CrudCode> CrudCodeType </CrudCode> [1]
  End All
</...>
```

Schema Component Representation

```
<xs:complexType name="OtherBusinessNameType">
  <xs:all>
    <xs:element name="SequenceNumber" type="PositiveIntRestricted10Type" minOccurs="0"/>
    <xs:element name="OtherBusinessName" type="StringRestricted128Type" minOccurs="0" maxOccurs="1"/>
    <xs:element name="CrudCode" type="CrudCodeType" minOccurs="1" maxOccurs="1"/>
  </xs:all>
</xs:complexType>
```

Table of Contents

Complex Type: OtherBusinessType

Super-types:	None
Sub-types:	None

Name	OtherBusinessType
Abstract	no

XML Instance Representation

```
<...>
  Start All[1]
    <!-- 3.A.(1). Other Business Activity -->
    <OtherBusinessActivityFlag> xs:boolean </OtherBusinessActivityFlag> [0..1]
    <!-- 3.B.(1). Other Business Names -->
    <OtherBusinessNameFlag> xs:boolean </OtherBusinessNameFlag> [0..1]
    <!-- 3.C.(1). Other Websites -->
    <OtherWebsiteFlag> xs:boolean </OtherWebsiteFlag> [0..1]
    <!-- 3.A.(2). Other Business Activity -->
    <OtherBusinessActivities> OtherBusinessActivitiesType </OtherBusinessActivities> [0..1]
    <!-- 3.B.(2). Other Business Names -->
    <OtherBusinessNames> OtherBusinessNamesType </OtherBusinessNames> [0..1]
    <!-- 3.C.(2). Other Websites -->
    <OtherBusinessWebsites> OtherBusinessWebsitesType </OtherBusinessWebsites> [0..1]
  End All
</...>
```

Schema Component Representation

```
<xs:complexType name="OtherBusinessType">
  <xs:all>
    <xs:element name="OtherBusinessActivityFlag" type="xs:boolean" minOccurs="0" maxOccurs="1" nillable="true"/>
    <xs:element name="OtherBusinessNameFlag" type="xs:boolean" minOccurs="0" maxOccurs="1" nillable="true"/>
    <xs:element name="OtherWebsiteFlag" type="xs:boolean" minOccurs="0" maxOccurs="1" nillable="true"/>
    <xs:element name="OtherBusinessActivities" type="OtherBusinessActivitiesType" minOccurs="0" maxOccurs="1"/>
    <xs:element name="OtherBusinessNames" type="OtherBusinessNamesType" minOccurs="0" maxOccurs="1"/>
    <xs:element name="OtherBusinessWebsites" type="OtherBusinessWebsitesType" minOccurs="0" maxOccurs="1"/>
  </xs:all>
</xs:complexType>
```

Table of Contents

Complex Type: OtherBusinessWebsitesType

Super-types:	None
Sub-types:	None

Name	OtherBusinessWebsitesType
Abstract	no

XML Instance Representation

```
<...>
  <OtherBusinessWebsite> OtherBusinessWebType </OtherBusinessWebsite> [0..*]
</...>
```

Schema Component Representation

```
<xs:complexType name="OtherBusinessWebsitesType">
  <xs:sequence>
    <xs:element name="OtherBusinessWebsite" type="OtherBusinessWebType" minOccurs="0" maxOccurs="unbounded"
    nillable="true"/>
  </xs:sequence>
</xs:complexType>
```

Table of Contents

Complex Type: OtherBusinessWebType

Super-types:	None
Sub-types:	None

Name	OtherBusinessWebType
Abstract	no

XML Instance Representation

```
<...>
  Start All[1]
    <!-- Unique number that identifies existing record -->
    <SequenceNumber> PositiveIntRestricted10Type </SequenceNumber> [0..1]
    <!-- 3.C.(2). Other Websites - Website Address -->
    <WebsiteAddressURL> StringRestricted2000Type </WebsiteAddressURL> [0..1]
    <!-- 3.C.(2). To specify if record is for Insert/Update/delete -->
    <CrudCode> CrudCodeType </CrudCode> [1]
  End All
</...>
```

Schema Component Representation

```
<xs:complexType name="OtherBusinessWebType">
  <xs:all>
    <xs:element name="SequenceNumber" type="PositiveIntRestricted10Type" minOccurs="0"/>
    <xs:element name="WebsiteAddressURL" type="StringRestricted2000Type" minOccurs="0" maxOccurs="1"/>
    <xs:element name="CrudCode" type="CrudCodeType" minOccurs="1" maxOccurs="1"/>
  </xs:all>
</xs:complexType>
```

Table of Contents

Complex Type: PrivateAddressType

Super-types:	AddressType < **PrivateAddressType** (by extension)
Sub-types:	None

Name	PrivateAddressType
Abstract	no

XML Instance Representation

```
<...>
  <!-- Address - Street 1 -->
  <Street1> StringRestricted50Type </Street1> [0..1]
  <!-- Address - Street 2 -->
  <Street2> StringRestricted50Type </Street2> [0..1]
  <!-- Address - City -->
  <City> StringRestricted50Type </City> [0..1]
  <!-- Address - State Code -->
  <State> StateCodeType </State> [0..1]
  <!-- Address - Country Code -->
  <Country> CountryCodeType </Country> [0..1]
  <!-- Address - Zip/Postal Code -->
  <PostalCode> StringRestricted11Type </PostalCode> [0..1]
  <!-- Address - Whether it is a private residence -->
  <PrivateResidence> xs:boolean </PrivateResidence> [0..1]
</...>
```

Schema Component Representation

```
<xs:complexType name="PrivateAddressType">
  <xs:complexContent>
    <xs:extension base="AddressType">
      <xs:sequence>
        <xs:element name="PrivateResidence" type="xs:boolean" nillable="true" minOccurs="0"/>
      </xs:sequence>
    </xs:extension>
  </xs:complexContent>
</xs:complexType>
```

Table of Contents

Complex Type: RecordLocationsType

Super-types:	None
Sub-types:	None

Name	RecordLocationsType
Abstract	no

XML Instance Representation

```
<...>
   <RecordLocation> RecordLocationType </RecordLocation> [0..*]
</...>
```

Schema Component Representation

```
<xs:complexType name="RecordLocationsType">
   <xs:sequence>
      <xs:element name="RecordLocation" type="RecordLocationType" minOccurs="0" maxOccurs="unbounded"/>
   </xs:sequence>
</xs:complexType>
```

Table of Contents

Complex Type: RecordLocationType

Super-types:	None
Sub-types:	None

Name	RecordLocationType
Abstract	no

XML Instance Representation

```
<...>
   Start All[1]
      <!-- Unique number that identifies existing record -->
      <SequenceNumber> PositiveIntRestricted10Type </SequenceNumber> [0..1]
      <!-- 4.E/6.B. Address -->
      <RecordsAtOtherLocationAddress> AddressType </RecordsAtOtherLocationAddress> [0..1]
      <!-- 4.E/6.B. First Name -->
      <ContactFirstName> StringRestricted25Type </ContactFirstName> [0..1]
      <!-- 4.E/6.B. Last Name -->
      <ContactLastName> StringRestricted25Type </ContactLastName> [0..1]
      <!-- 4.E/6.B. Daytime Telephone Number -->
      <ContactTelephoneNumber> StringRestricted27Type </ContactTelephoneNumber> [0..1]
      <!-- 4.E/6.B. Email Address -->
      <ContactEmailAddress> EmailType </ContactEmailAddress> [0..1]
      <!-- 4.E/6.B. To specify if record is for Insert/Update/delete -->
      <CrudCode> CrudCodeType </CrudCode> [1]
   End All
</...>
```

Schema Component Representation

```
<xs:complexType name="RecordLocationType">
   <xs:all>
      <xs:element name="SequenceNumber" type="PositiveIntRestricted10Type" minOccurs="0"/>
      <xs:element name="RecordsAtOtherLocationAddress" type="AddressType" minOccurs="0"/>
      <xs:element name="ContactFirstName" type="StringRestricted25Type" minOccurs="0"/>
      <xs:element name="ContactLastName" type="StringRestricted25Type" minOccurs="0"/>
      <xs:element name="ContactTelephoneNumber" type="StringRestricted27Type" minOccurs="0"/>
      <xs:element name="ContactEmailAddress" type="EmailType" minOccurs="0"/>
      <xs:element name="CrudCode" type="CrudCodeType" minOccurs="1" maxOccurs="1"/>
   </xs:all>
</xs:complexType>
```

Table of Contents

Complex Type: RegistrationType

Super-types:	None
Sub-types:	None

Name	RegistrationType
Abstract	no
Documentation	This is the Registration section of the BR Form

XML Instance Representation

```
<...>
  Start All[1]
    <!-- Indicates that Branch is requesting FINRA registration. -->
    <BranchRegulatorFINRA> xs:boolean </BranchRegulatorFINRA> [0..1]
    <!-- Indicates that Branch is requesting NYSE registration. -->
    <BranchRegulatorNYSE> xs:boolean </BranchRegulatorNYSE> [0..1]
    <!-- Indicates that Branch is requesting a registration in the jurisdiction its located in. -->
    <BranchRegulatorJuris> xs:boolean </BranchRegulatorJuris> [0..1]
    <!-- 2.C-Type of Office - Broker-dealer -->
    <BranchOfficeRegistrationTypeBD> xs:boolean </BranchOfficeRegistrationTypeBD> [0..1]
    <!-- 2.C- Type of Office - Investment Advisor -->
    <BranchOfficeRegistrationTypeIA> xs:boolean </BranchOfficeRegistrationTypeIA> [0..1]
    <!-- Financial ActivityType - Sales -->
    <ActivitySalesFlag> xs:boolean </ActivitySalesFlag> [0..1]
    <!-- Financial ActivityType - Sales Retail -->
    <ActivitySalesRtlFlag> xs:boolean </ActivitySalesRtlFlag> [0..1]
    <!-- Financial ActivityType - Sales Institutional -->
    <ActivitySalesInstlFlag> xs:boolean </ActivitySalesInstlFlag> [0..1]
    <!-- Financial ActivityType - Investment Advisory Services -->
    <ActivityNvsmtAdvsrFlag> xs:boolean </ActivityNvsmtAdvsrFlag> [0..1]
    <!-- Financial ActivityType - Investment Banking/Underwriting -->
    <ActivityNvsmtBankUndrwFlag> xs:boolean </ActivityNvsmtBankUndrwFlag> [0..1]
    <!-- Financial ActivityType - Research -->
    <ActivityRsrchFlag> xs:boolean </ActivityRsrchFlag> [0..1]
    <!-- Financial ActivityType - Market Making/Trading -->
    <ActivityMMFlag> xs:boolean </ActivityMMFlag> [0..1]
    <!-- Financial ActivityType - Back Office Operations -->
    <ActivityBckOfcFlag> xs:boolean </ActivityBckOfcFlag> [0..1]
    <!-- Financial ActivityType - Public Finance -->
    <ActivityPblcFnncFlag> xs:boolean </ActivityPblcFnncFlag> [0..1]
    <!-- Financial ActivityType - Other -->
    <ActivityOtherFlag> xs:boolean </ActivityOtherFlag> [0..1]
    <!-- Financial ActivityType - Other Description -->
    <ActivityOtherDesc> StringRestricted512Type </ActivityOtherDesc> [0..1]
    <!-- If this is an OSJ Branch -->
    <OSJFlag> xs:boolean </OSJFlag> [0..1]
    <!-- 2.E.1 Supervisors -->
    <Supervisors> [0..1]
      <Supervisor> SupervisorPICType </Supervisor> [0..*]
    </Supervisors>
    <!-- 2.E.(2) Supervised by other OSJ branch -->
    <SupervisingOSJSupervisors> [0..1]
      <SupervisingOSJSupervisor> SupervisingOSJSupervisorType </SupervisingOSJSupervisor> [0..*]
    </SupervisingOSJSupervisors>
    <!-- 2.E.1 Supervisors -->
    <PersonsInCharge> [0..1]
      <PersonInCharge> SupervisorPICType </PersonInCharge> [0..*]
    </PersonsInCharge>
    <!-- 2.F If the applicant is registered with the Municipal Securities Rulemaking Board (MSRB), is this branch
    office an Office of Municipal Supervisory Jurisdiction as defined under MSRB rules? (Optional) -->
    <MSRBMunicipalSupervisoryJurisdictionFlag> xs:boolean </MSRBMunicipalSupervisoryJurisdictionFlag> [0..1]
  End All
</...>
```

Schema Component Representation

```
<xs:complexType name="RegistrationType">
  <xs:all>
    <xs:element name="BranchRegulatorFINRA" type="xs:boolean" nillable="true" minOccurs="0"/>
    <xs:element name="BranchRegulatorNYSE" type="xs:boolean" nillable="true" minOccurs="0"/>
    <xs:element name="BranchRegulatorJuris" type="xs:boolean" nillable="true" minOccurs="0"/>
    <xs:element name="BranchOfficeRegistrationTypeBD" type="xs:boolean" nillable="true" minOccurs="0"/>
    <xs:element name="BranchOfficeRegistrationTypeIA" type="xs:boolean" nillable="true" minOccurs="0"/>
    <xs:element name="ActivitySalesFlag" type="xs:boolean" nillable="true" minOccurs="0"/>
    <xs:element name="ActivitySalesRtlFlag" type="xs:boolean" nillable="true" minOccurs="0"/>
    <xs:element name="ActivitySalesInstlFlag" type="xs:boolean" nillable="true" minOccurs="0"/>
    <xs:element name="ActivityNvsmtAdvsrFlag" type="xs:boolean" nillable="true" minOccurs="0"/>
    <xs:element name="ActivityNvsmtBankUndrwFlag" type="xs:boolean" nillable="true" minOccurs="0"/>
    <xs:element name="ActivityRsrchFlag" type="xs:boolean" nillable="true" minOccurs="0"/>
    <xs:element name="ActivityMMFlag" type="xs:boolean" nillable="true" minOccurs="0"/>
    <xs:element name="ActivityBckOfcFlag" type="xs:boolean" nillable="true" minOccurs="0"/>
    <xs:element name="ActivityPblcFnncFlag" type="xs:boolean" nillable="true" minOccurs="0"/>
    <xs:element name="ActivityOtherFlag" type="xs:boolean" nillable="true" minOccurs="0"/>
    <xs:element name="ActivityOtherDesc" type="StringRestricted512Type" minOccurs="0" maxOccurs="1"/>
    <xs:element name="OSJFlag" type="xs:boolean" nillable="true" minOccurs="0"/>
    <xs:element name="Supervisors" minOccurs="0" maxOccurs="1">
      <xs:complexType>
        <xs:sequence>
          <xs:element name="Supervisor" type="SupervisorPICType" minOccurs="0" maxOccurs="unbounded"/>
        </xs:sequence>
      </xs:complexType>
    </xs:element>
    <xs:element name="SupervisingOSJSupervisors" minOccurs="0" maxOccurs="1">
      <xs:complexType>
        <xs:sequence>
          <xs:element name="SupervisingOSJSupervisor" type="SupervisingOSJSupervisorType" minOccurs="0"
          maxOccurs="unbounded"/>
        </xs:sequence>
      </xs:complexType>
    </xs:element>
    <xs:element name="PersonsInCharge" minOccurs="0" maxOccurs="1">
      <xs:complexType>
        <xs:sequence>
          <xs:element name="PersonInCharge" type="SupervisorPICType" minOccurs="0" maxOccurs="unbounded"/>
        </xs:sequence>
      </xs:complexType>
    </xs:element>
    <xs:element name="MSRBMunicipalSupervisoryJurisdictionFlag" type="xs:boolean" minOccurs="0" maxOccurs="1"/>
  </xs:all>
</xs:complexType>
```

Table of Contents

Complex Type: SignatureType

Super-types:	None
Sub-types:	None

Name	SignatureType
Abstract	no
Documentation	This section appears only on all BR filings

XML Instance Representation

```
<...>
  Start All[1]
    <!-- 8. Signature of Appropriate Signatory -->
    <SignatureText> StringRestricted128Type </SignatureText> [1]
    <!-- 8. Date of Filing Form -->
    <SignatureDate> xs:date </SignatureDate> [1]
    <!-- 8. Name of the Person Filing Form -->
    <SignatureContactName> StringRestricted128Type </SignatureContactName> [1]
    <!-- 8. Title of the Person Filing Form -->
    <SignatureContactTitle> StringRestricted64Type </SignatureContactTitle> [1]
    <!-- 8. Telephone Number of the Person Filing Form -->
    <SignatureContactTelephoneNumber> StringRestricted27Type </SignatureContactTelephoneNumber> [1]
    <!-- 8. Email Address of the Person Filing Form -->
    <SignatureContactEmailAddress> EmailType </SignatureContactEmailAddress> [0..1]
  End All
</...>
```

Schema Component Representation

```
<xs:complexType name="SignatureType">
  <xs:all>
    <xs:element name="SignatureText" type="StringRestricted128Type" minOccurs="1"/>
    <xs:element name="SignatureDate" type="xs:date" minOccurs="1"/>
    <xs:element name="SignatureContactName" type="StringRestricted128Type" minOccurs="1"/>
    <xs:element name="SignatureContactTitle" type="StringRestricted64Type" minOccurs="1"/>
    <xs:element name="SignatureContactTelephoneNumber" type="StringRestricted27Type" minOccurs="1"/>
    <xs:element name="SignatureContactEmailAddress" type="EmailType" minOccurs="0"/>
  </xs:all>
</xs:complexType>
```

Table of Contents

Complex Type: SupervisingOSJSupervisorType

Super-types:	None
Sub-types:	None

Name	SupervisingOSJSupervisorType
Abstract	no

XML Instance Representation

```
<...>
  Start All[1]
    <!-- Branch CRD Number -->
    <SupervisingOSJBranchCRDNumber> PositiveIntRestricted10Type </SupervisingOSJBranchCRDNumber> [1]
    <!-- Individual CRD Number -->
    <SupervisingOSJSupervisorCRDNumber> PositiveIntRestricted10Type </SupervisingOSJSupervisorCRDNumber> [1]
    <!-- Activity Description -->
    <SupervisingOSJActivityTypeDescription> StringRestricted512Type </SupervisingOSJActivityTypeDescription> [0..1]
    <!-- Individual CRD Number -->
    <SupervisingOSJBranchBillingCode> StringRestricted8Type </SupervisingOSJBranchBillingCode> [0..1]
    <!-- 2.E(2) To specify if record is for Insert/Update/delete -->
    <CrudCode> CrudCodeType </CrudCode> [1]
  End All
</...>
```

Schema Component Representation

```
<xs:complexType name="SupervisingOSJSupervisorType">
  <xs:all>
    <xs:element name="SupervisingOSJBranchCRDNumber" type="PositiveIntRestricted10Type" minOccurs="1" maxOccurs="1"/>
    <xs:element name="SupervisingOSJSupervisorCRDNumber" type="PositiveIntRestricted10Type" minOccurs="1"
    maxOccurs="1"/>
    <xs:element name="SupervisingOSJActivityTypeDescription" type="StringRestricted512Type" minOccurs="0"
    maxOccurs="1"/>
    <xs:element name="SupervisingOSJBranchBillingCode" type="StringRestricted8Type" minOccurs="0" maxOccurs="1"/>
    <xs:element name="CrudCode" type="CrudCodeType" minOccurs="1" maxOccurs="1"/>
  </xs:all>
</xs:complexType>
```

Table of Contents

Complex Type: SupervisorPICType

Super-types:	None
Sub-types:	None

Name	SupervisorPICType
Abstract	no

XML Instance Representation

```
<...>
  Start All[1]
    <!-- Individual CRD Number -->
    <SupervisorPicCRDNumber> PositiveIntRestricted10Type </SupervisorPicCRDNumber> [1]
    <!-- Activity Description -->
    <SupervisorPicActivityTypeDescription> StringRestricted512Type </SupervisorPicActivityTypeDescription> [0..1]
    <!-- 2.E(1) and E(3)- To specify if record is for Insert/Update/delete -->
    <CrudCode> CrudCodeType </CrudCode> [1]
  End All
</...>
```

Schema Component Representation

```
<xs:complexType name="SupervisorPICType">
  <xs:all>
    <xs:element name="SupervisorPicCRDNumber" type="PositiveIntRestricted10Type" minOccurs="1" maxOccurs="1"/>
    <xs:element name="SupervisorPicActivityTypeDescription" type="StringRestricted512Type" minOccurs="0"/>
    <xs:element name="CrudCode" type="CrudCodeType" minOccurs="1"/>
  </xs:all>
</xs:complexType>
```

Table of Contents

Complex Type: WithdrawalType

Super-types:	None
Sub-types:	None

Name	WithdrawalType
Abstract	no
Documentation	This section appears only on a Closing/Withdrawal BR filings

XML Instance Representation

```
<...>
  Start All[1]
    <!-- 7.A. Date of Withdrawal. Valid date string format is YYYY-MM-DD. -->
    <WithdrawalDate> xs:date </WithdrawalDate> [0..1]
    <!-- 7.B. Reason for Withdrawal -->
    <WithdrawalReason> StringRestricted512Type </WithdrawalReason> [0..1]
    <!-- 7.C. Contact First Name -->
    <ContactFirstName> StringRestricted25Type </ContactFirstName> [0..1]
    <!-- 7.C. Contact Last Name -->
    <ContactLastName> StringRestricted25Type </ContactLastName> [0..1]
    <!-- 7.C. Daytime Telephone Number -->
    <ContactTelephoneNumber> StringRestricted27Type </ContactTelephoneNumber> [0..1]
    <!-- 7.C. Contact Email Address -->
    <ContactEmailAddress> EmailType </ContactEmailAddress> [0..1]
  End All
</...>
```

Schema Component Representation

```
<xs:complexType name="WithdrawalType">
  <xs:all>
    <xs:element name="WithdrawalDate" type="xs:date" minOccurs="0"/>
    <xs:element name="WithdrawalReason" type="StringRestricted512Type" minOccurs="0"/>
    <xs:element name="ContactFirstName" type="StringRestricted25Type" minOccurs="0"/>
    <xs:element name="ContactLastName" type="StringRestricted25Type" minOccurs="0"/>
    <xs:element name="ContactTelephoneNumber" type="StringRestricted27Type" minOccurs="0"/>
    <xs:element name="ContactEmailAddress" type="EmailType" minOccurs="0"/>
  </xs:all>
</xs:complexType>
```

Table of Contents

Simple Type: BooleanYNType

Super-types:	xs:string < stringPreserveWhiteSpaces (by restriction) < **BooleanYNType** (by restriction)
Sub-types:	None

Name	BooleanYNType
Content	Base XSD Type: string *Whitespace policy:* preserve *value* comes from list: {'Y' | 'N'}
Documentation	Boolean(Y/N) type codes. Allowed values (code-description) are: Y - Yes N - No

Schema Component Representation

```
<xs:simpleType name="BooleanYNType">
  <xs:restriction base="stringPreserveWhiteSpaces">
    <xs:enumeration value="Y"/>
    <xs:enumeration value="N"/>
  </xs:restriction>
</xs:simpleType>
```

Table of Contents

Simple Type: CountryCodeType

Super-types:	xs:string < stringPreserveWhiteSpaces (by restriction) < **CountryCodeType** (by restriction)
Sub-types:	None

Name	CountryCodeType
Content	Base XSD Type: string

- *Whitespace policy:* preserve

- *value* comes from list: {'GGY' | 'IMN' | 'JEY' | 'MNE' | 'USA' | 'NON' | 'AFG' | 'ALB' | 'ABC' | 'DZA' | 'ASM' | 'AND' | 'AGO' | 'AIA' | 'ATG' | 'ARG' | 'ARM' | 'ABW' | 'AUS' | 'AUT' | 'AZE' | 'BHS' | 'BHR' | 'BGD' | 'BRB' | 'BLR' | 'BEL' | 'BLZ' | 'BEN' | 'BMU' | 'BTN' | 'BOL' | 'BIH' | 'BWA' | 'BRA' | 'BCC' | 'VGB' | 'BRN' | 'BGR' | 'BFA' | 'MMR' | 'BDI' | 'KHM' | 'CMR' | 'CAN' | 'CPV' | 'CYM' | 'CAF' | 'TCD' | 'CHL' | 'CHN' | 'CXR' | 'CCK' | 'COL' | 'COM' | 'COD' | 'COG' | 'COK' | 'CRI' | 'CIV' | 'HRV' | 'CUB' | 'CYP' | 'CZE' | 'DNK' | 'DJI' | 'DMA' | 'DOM' | 'TLS' | 'ECU' | 'EGY' | 'SLV' | 'GNQ' | 'ERI' | 'EST' | 'ETH' | 'FLK' | 'FRO' | 'FJI' | 'FIN' | 'FRA' | 'GUF' | 'PYF' | 'GAB' | 'GMB' | 'GEO' | 'DEU' | 'GHA' | 'GIB' | 'GRC' | 'GRL' | 'GRD' | 'GLP' | 'GUM' | 'GTM' | 'GIN' | 'GNB' | 'GUY' | 'HTI' | 'VAT' | 'HND' | 'HKG' | 'HUN' | 'ISL' | 'IND' | 'IDN' | 'IRN' | 'IRQ' | 'IRL' | 'ISR' | 'ITA' | 'JAM' | 'JPN' | 'JOR' | 'KAZ' | 'KEN' | 'KIR' | 'PRK' | 'KOR' | 'KWT' | 'KGZ' | 'LAO' | 'LVA' | 'LBN' | 'LSO' | 'LBR' | 'LBY' | 'LIE' | 'LTU' | 'LUX' | 'MAC' | 'MKD' | 'MDG' | 'MWI' | 'MYS' | 'MDV' | 'MLI' | 'MLT' | 'MBC' | 'MHL' | 'MTQ' | 'MRT' | 'MUS' | 'MYT' | 'MEX' | 'FSM' | 'MDA' | 'MCO' | 'MNG' | 'MSR' | 'MAR' | 'MOZ' | 'NAM' | 'NRU' | 'NPL' | 'NLD' | 'ANT' | 'NBC' | 'NCL' | 'NZL' | 'NLC' | 'NIC' | 'NER' | 'NGA' | 'NIU' | 'NFK' | 'MNP' | 'NTC' | 'NOR' | 'NSC' | 'OMN' | 'ONC' | 'PAK' | 'PLW' | 'PAN' | 'PNG' | 'PRY' | 'PER' | 'PHL' | 'PCN' | 'POL' | 'PRT' | 'PEC' | 'QAT' | 'QCC' | 'REU' | 'ROU' | 'RUS' | 'RWA' | 'SHN' | 'KNA' | 'LCA' | 'SPM' | 'VCT' | 'WSM' | 'SMR' | 'STP' | 'SKC' | 'SAU' | 'SEN' | 'SCG' | 'SYC' | 'SLE' | 'SGP' | 'SVK' | 'SVN' | 'SLB' | 'SOM' | 'ZAF' | 'SGS' | 'ESP' | 'LKA' | 'SDN' | 'SUR' | 'SJM' | 'SWZ' | 'SWE' | 'CHE' | 'SYR' | 'TWN' | 'TJK' | 'TZA' | 'THA' | 'TGO' | 'TKL' | 'TON' | 'TTO' | 'TUN' | 'TUR' | 'TKM' | 'TCA' | 'TUV' | 'UGA' | 'UKR' | 'ARE' | 'GBR' | 'URY' | 'UZB' | 'VUT' | 'VEN' | 'VNM' | 'WLF' | 'ESH' | 'YEM' | 'YTC' | 'ZWB' | 'ZWE'}
- *length* <= 3

Documentation

Elements of this type represent the allowed Country Codes.

Allowed values (Country code-Country Name) are:
GGY-GUERNSEY
IMN-ISLE OF MAN
JEY-JERSEY
MNE-MONTENEGRO
USA-UNITED STATES
NON-OTHER
AFG-AFGHANISTAN
ALB-ALBANIA
ABC-ALBERTA, CANADA
DZA-ALGERIA
ASM-AMERICAN SAMOA
AND-ANDORRA
AGO-ANGOLA
AIA-ANGUILLA
ATG-ANTIGUA AND BARBUDA
ARG-ARGENTINA
ARM-ARMENIA
ABW-ARUBA
AUS-AUSTRALIA
AUT-AUSTRIA
AZE-AZERBAIJAN
BHS-BAHAMAS, THE
BHR-BAHRAIN
BGD-BANGLADESH
BRB-BARBADOS
BLR-BELARUS
BEL-BELGIUM
BLZ-BELIZE
BEN-BENIN
BMU-BERMUDA
BTN-BHUTAN
BOL-BOLIVIA
BIH-BOSNIA AND HERZEGOVINA
BWA-BOTSWANA
BRA-BRAZIL
BCC-BRITISH COLUMBIA, CANADA
VGB-BRITISH VIRGIN ISLANDS
BRN-BRUNEI
BGR-BULGARIA
BFA-BURKINA FASO
MMR-BURMA (MYANMAR)
BDI-BURUNDI
KHM-CAMBODIA
CMR-CAMEROON
CAN-CANADA
CPV-CAPE VERDE ISLANDS
CYM-CAYMAN ISLANDS
CAF-CENTRAL AFRICAN REPUBLIC
TCD-CHAD
CHL-CHILE
CHN-CHINA
CXR-CHRISTMAS ISLAND
CCK-COCOS (KEELING) ISLANDS
COL-COLOMBIA
COM-COMOROS
COD-CONGO (DEMOCRATIC REPUBLIC OR ZAIRE)
COG-CONGO, REPUBLIC OF

COK-COOK ISLANDS
CRI-COSTA RICA
CIV-COTE DE IVOIRE (IVORY COAST)
HRV-CROATIA
CUB-CUBA
CYP-CYPRUS
CZE-CZECH REPUBLIC
DNK-DENMARK
DJI-DJIBOUTI
DMA-DOMINICA
DOM-DOMINICAN REPUBLIC
TLS-EAST TIMOR
ECU-ECUADOR
EGY-EGYPT (UNITED ARAB REPUBLIC)
SLV-EL SALVADOR
GNQ-EQUATORIAL GUINEA
ERI-ERITREA
EST-ESTONIA
ETH-ETHIOPIA
FLK-FALKLAND ISLANDS (ISLAS MALVINAS)
FRO-FAROE ISLANDS
FJI-FIJI ISLANDS
FIN-FINLAND
FRA-FRANCE
GUF-FRENCH GUIANA
PYF-FRENCH POLYNESIA
GAB-GABON
GMB-GAMBIA
GEO-GEORGIA/GRUZINSKAYA
DEU-GERMANY
GHA-GHANA
GIB-GIBRALTAR
GRC-GREECE
GRL-GREENLAND
GRD-GRENADA
GLP-GUADELOUPE
GUM-GUAM
GTM-GUATEMALA
GIN-GUINEA
GNB-GUINEA BISSAU
GUY-GUYANA
HTI-HAITI
VAT-HOLY SEE, VATICAN CITY
HND-HONDURAS
HKG-HONG KONG
HUN-HUNGARY
ISL-ICELAND
IND-INDIA
IDN-INDONESIA
IRN-IRAN
IRQ-IRAQ
IRL-IRELAND
ISR-ISRAEL
ITA-ITALY
JAM-JAMAICA
JPN-JAPAN
JOR-JORDAN
KAZ-KAZAKHSTAN
KEN-KENYA
KIR-KIRIBATI
PRK-KOREA, NORTH
KOR-KOREA, SOUTH
KWT-KUWAIT
KGZ-KYRGYZSTAN
LAO-LAOS
LVA-LATVIA
LBN-LEBANON
LSO-LESOTHO
LBR-LIBERIA
LBY-LIBYA
LIE-LIECHTENSTEIN
LTU-LITHUANIA
LUX-LUXEMBOURG
MAC-MACAU
MKD-MACEDONIA
MDG-MADAGASCAR
MWI-MALAWI
MYS-MALAYSIA
MDV-MALDIVES
MLI-MALI

MLT-MALTA
MBC-MANITOBA, CANADA
MHL-MARSHALL ISLANDS
MTQ-MARTINIQUE
MRT-MAURITANIA
MUS-MAURITIUS
MYT-MAYOTTE
MEX-MEXICO
FSM-MICRONESIA, FEDERATED STATES OF
MDA-MOLDOVA
MCO-MONACO
MNG-MONGOLIA
MSR-MONTESERRAT
MAR-MOROCCO
MOZ-MOZAMBIQUE
NAM-NAMIBIA
NRU-NAURU
NPL-NEPAL
NLD-NETHERLANDS
ANT-NETHERLANDS ANTILLES
NBC-NEW BRUNSWICK, CANADA
NCL-NEW CALEDONIA
NZL-NEW ZEALAND
NLC-NEWFOUNDLAND, CANADA
NIC-NICARAGUA
NER-NIGER
NGA-NIGERIA
NIU-NIUE
NFK-NORFOLK ISLAND
MNP-NORTHERN MARIANA ISLANDS
NTC-NORTHWEST TERRITORIES, CANADA
NOR-NORWAY
NSC-NOVA SCOTIA, CANADA
OMN-OMAN
ONC-ONTARIO, CANADA
PAK-PAKISTAN
PLW-PALAU
PAN-PANAMA
PNG-PAPUA NEW GUINEA
PRY-PARAGUAY
PER-PERU
PHL-PHILIPPINES
PCN-PITCAIRN ISLANDS (DUCIE, HENDERSON, OENO)
POL-POLAND
PRT-PORTUGAL
PEC-PRINCE EDWARD ISLE, CANADA
QAT-QATAR
QCC-QUEBEC, CANADA
REU-REUNION
ROU-ROMANIA
RUS-RUSSIA
RWA-RWANDA
SHN-SAINT HELENA
KNA-SAINT KITTS AND NEVIS
LCA-SAINT LUCIA
SPM-SAINT PIERRE AND MIQUELON
VCT-SAINT VINCENT AND THE GRENADINES
WSM-SAMOA
SMR-SAN MARINO
STP-SAO TOME AND PRINCIPE
SKC-SASKATCHEWAN, CANADA
SAU-SAUDI ARABIA
SEN-SENEGAL
SCG-SERBIA AND MONTENEGRO
SYC-SEYCHELLES
SLE-SIERRA LEONE
SGP-SINGAPORE
SVK-SLOVAKIA
SVN-SLOVENIA
SLB-SOLOMON ISLANDS
SOM-SOMALIA
ZAF-SOUTH AFRICA
SGS-SOUTH GEORGIA/SOUTH SANDWICH ISLANDS
ESP-SPAIN
LKA-SRI LANKA
SDN-SUDAN
SUR-SURINAM
SJM-SVALBARD
SWZ-SWAZILAND
SWE-SWEDEN

CHE-SWITZERLAND
SYR-SYRIA
TWN-TAIWAN, REPUBLIC OF CHINA
TJK-TAJIKISTAN
TZA-TANZANIA
THA-THAILAND
TGO-TOGO
TKL-TOKELAU
TON-TONGA
TTO-TRINIDAD AND TOBAGO
TUN-TUNISIA
TUR-TURKEY
TKM-TURKMENISTAN
TCA-TURKS AND CAICOS ISLANDS
TUV-TUVALU
UGA-UGANDA
UKR-UKRAINE
ARE-UNITED ARAB EMIRATES
GBR-UNITED KINGDOM
URY-URUGUAY
UZB-UZBEKISTAN
VUT-VANUATU
VEN-VENEZUELA
VNM-VIETNAM
WLF-WALLIS AND FUTUNA
ESH-WESTERN SAHARA
YEM-YEMEN
YTC-YUKON TERRITORY, CANADA
ZWB-ZAMBIA
ZWE-ZIMBABWE

Schema Component Representation

```
<xs:simpleType name="CountryCodeType">
  <xs:restriction base="stringPreserveWhiteSpaces">
    <xs:maxLength value="3"/>
    <xs:enumeration value="GGY"/>
    <xs:enumeration value="IMN"/>
    <xs:enumeration value="JEY"/>
    <xs:enumeration value="MNE"/>
    <xs:enumeration value="USA"/>
    <xs:enumeration value="NON"/>
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    <xs:enumeration value="ALB"/>
    <xs:enumeration value="ABC"/>
    <xs:enumeration value="DZA"/>
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    <xs:enumeration value="BGR"/>
    <xs:enumeration value="BFA"/>
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```

```
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<xs:enumeration value="LVA"/>
<xs:enumeration value="LBN"/>
```

```
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<xs:enumeration value="SYC"/>
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```

```
    <xs:enumeration value="SVK"/>
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    <xs:enumeration value="SLB"/>
    <xs:enumeration value="SOM"/>
    <xs:enumeration value="ZAF"/>
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    <xs:enumeration value="UZB"/>
    <xs:enumeration value="VUT"/>
    <xs:enumeration value="VEN"/>
    <xs:enumeration value="VNM"/>
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    <xs:enumeration value="YEM"/>
    <xs:enumeration value="YTC"/>
    <xs:enumeration value="ZWB"/>
    <xs:enumeration value="ZWE"/>
  </xs:restriction>
</xs:simpleType>
```

Table of Contents

Simple Type: CrudCodeType

Super-types:	xs:NMTOKEN < **CrudCodeType** (by restriction)
Sub-types:	None

Name	CrudCodeType
Content	Base XSD Type: NMTOKEN *value* comes from list: {'I' | 'U' | 'D'} *length* >= 1
Documentation	Elements of this type represent the allowed Crud Codes. Allowed values are: I - Insert U - Update D - Delete

Schema Component Representation

```
<xs:simpleType name="CrudCodeType">
  <xs:restriction base="xs:NMTOKEN">
    <xs:minLength value="1"/>
    <xs:maxLength value="1"/>
    <xs:enumeration value="I"/>
    <xs:enumeration value="U"/>
    <xs:enumeration value="D"/>
  </xs:restriction>
</xs:simpleType>
```

Table of Contents

Simple Type: EmailType

Super-types:	xs:string < **EmailType** (by restriction)
Sub-types:	None

Name	EmailType
Content	Base XSD Type: string *pattern* = ([a-zA-Z0-9][a-zA-Z0-9_\-']*(\.[a-zA-Z0-9_\-']+)*)@((\[[0-9]{1,3}\.[0-9]{1,3}\.[0-9]{1,3}\.)|(([a-zA-Z0-9\-]+\.)+))([a-zA-Z]{2,4}|[0-9]{1,3}\]) *length* <= 128

Schema Component Representation

```
<xs:simpleType name="EmailType">
  <xs:restriction base="xs:string">
    <xs:maxLength value="128"/>
    <xs:pattern value="([a-zA-Z0-9][a-zA-Z0-9_\-']*(\.[a-zA-Z0-9_\-']+)*)@((\[[0-9]{1,3}\.[0-9]{1,3}\.[0-9]{1,3}\.)|
    (([a-zA-Z0-9\-]+\.)+))([a-zA-Z]{2,4}|[0-9]{1,3}\])"/>
  </xs:restriction>
</xs:simpleType>
```

Table of Contents

Simple Type: EntityTypeCodeType

Super-types:	xs:string < stringPreserveWhiteSpaces (by restriction) < **EntityTypeCodeType** (by restriction)
Sub-types:	None

Name	EntityTypeCodeType
Content	Base XSD Type: string *Whitespace policy:* preserve *value* comes from list: {'FIRM' | 'INDVL'} *length* <= 20
Documentation	Elements of this type represent the allowed Entity type Codes. Allowed values are: FIRM- Entity INDVL-Individual

Schema Component Representation

```
<xs:simpleType name="EntityTypeCodeType">
  <xs:restriction base="stringPreserveWhiteSpaces">
    <xs:maxLength value="20"/>
    <xs:enumeration value="FIRM"/>
    <xs:enumeration value="INDVL"/>
  </xs:restriction>
</xs:simpleType>
```

Table of Contents

Simple Type: PositiveIntRestricted10Type

Super-types:	xs:unsignedInt < **PositiveIntRestricted10Type** (by restriction)
Sub-types:	None

Name	PositiveIntRestricted10Type
Content	Base XSD Type: unsignedInt 0 < *value* <= 2147483647 *total no. of digits* = 10

Schema Component Representation

```
<xs:simpleType name="PositiveIntRestricted10Type">
  <xs:restriction base="xs:unsignedInt">
    <xs:totalDigits value="10"/>
    <xs:minExclusive value="0"/>
    <xs:maxInclusive value="2147483647"/>
  </xs:restriction>
</xs:simpleType>
```

Table of Contents

Simple Type: PositiveIntRestricted8Type

Super-types:	xs:unsignedInt < **PositiveIntRestricted8Type** (by restriction)
Sub-types:	None

Name	PositiveIntRestricted8Type
Content	Base XSD Type: unsignedInt *value* > 0 *total no. of digits* = 8

Schema Component Representation

```
<xs:simpleType name="PositiveIntRestricted8Type">
  <xs:restriction base="xs:unsignedInt">
    <xs:totalDigits value="8"/>
    <xs:minExclusive value="0"/>
  </xs:restriction>
</xs:simpleType>
```

Table of Contents

Simple Type: StateCodeType

Super-types:	xs:string < stringPreserveWhiteSpaces (by restriction) < **StateCodeType** (by restriction)
Sub-types:	None

Name	StateCodeType
Content	Base XSD Type: string *Whitespace policy:* preserve *value* comes from list: {'AK' | 'AL' | 'AR' | 'AZ' | 'CA' | 'CO' | 'CT' | 'DC' | 'DE' | 'FL' | 'GA' | 'HI' | 'IA' | 'ID' | 'IL' | 'IN' | 'KS' | 'KY' | 'LA' | 'MA' | 'MD' | 'ME' | 'MI' | 'MN' | 'MO' | 'MS' | 'MT' | 'NC' | 'ND' | 'NE' | 'NH' | 'NJ' | 'NM' | 'NV' | 'NY' | 'OH' | 'OK' | 'OR' | 'PA' | 'PR' | 'RI' | 'SC' | 'SD' | 'TN' | 'TX' | 'UT' | 'VA' | 'VT' | 'WA' | 'WI' | 'WV' | 'WY' | 'VI'} *length* <= 2
Documentation	Elements of this type represent the allowed State Codes. Allowed values (code-Name) are: AK-Alaska AL-Alabama AR-Arkansas AZ-Arizona CA-California

CO-Colorado
CT-Connecticut
DC-District of Columbia
DE-Delaware
FL-Florida
GA-Georgia
HI-Hawaii
IA-Iowa
ID-Idaho
IL-Illinois
IN-Indiana
KS-Kansas
KY-Kentucky
LA-Louisiana
MA-Massachusetts
MD-Maryland
ME-Maine
MI-Michigan
MN-Minnesota
MO-Missouri
MS-Mississippi
MT-Montana
NC-North Carolina
ND-North Dakota
NE-Nebraska
NH-New Hampshire
NJ-New Jersey
NM-New Mexico
NV-Nevada
NY-New York
OH-Ohio
OK-Oklahoma
OR-Oregon
PA-Pennsylvania
PR-Puerto Rico
RI-Rhode Island
SC-South Carolina
SD-South Dakota
TN-Tennessee
TX-Texas
UT-Utah
VA-Virginia
VT-Vermont
WA-Washington
WI-Wisconsin
WV-West Virginia
WY-Wyoming
VI-Virgin Islands

Schema Component Representation

```
<xs:simpleType name="StateCodeType">
  <xs:restriction base="stringPreserveWhiteSpaces">
    <xs:maxLength value="2"/>
    <xs:enumeration value="AK"/>
    <xs:enumeration value="AL"/>
    <xs:enumeration value="AR"/>
    <xs:enumeration value="AZ"/>
    <xs:enumeration value="CA"/>
    <xs:enumeration value="CO"/>
    <xs:enumeration value="CT"/>
    <xs:enumeration value="DC"/>
    <xs:enumeration value="DE"/>
    <xs:enumeration value="FL"/>
    <xs:enumeration value="GA"/>
    <xs:enumeration value="HI"/>
    <xs:enumeration value="IA"/>
    <xs:enumeration value="ID"/>
    <xs:enumeration value="IL"/>
    <xs:enumeration value="IN"/>
    <xs:enumeration value="KS"/>
    <xs:enumeration value="KY"/>
    <xs:enumeration value="LA"/>
    <xs:enumeration value="MA"/>
    <xs:enumeration value="MD"/>
    <xs:enumeration value="ME"/>
    <xs:enumeration value="MI"/>
    <xs:enumeration value="MN"/>
    <xs:enumeration value="MO"/>
    <xs:enumeration value="MS"/>
    <xs:enumeration value="MT"/>
    <xs:enumeration value="NC"/>
    <xs:enumeration value="ND"/>
    <xs:enumeration value="NE"/>
    <xs:enumeration value="NH"/>
    <xs:enumeration value="NJ"/>
    <xs:enumeration value="NM"/>
    <xs:enumeration value="NV"/>
    <xs:enumeration value="NY"/>
    <xs:enumeration value="OH"/>
    <xs:enumeration value="OK"/>
    <xs:enumeration value="OR"/>
    <xs:enumeration value="PA"/>
    <xs:enumeration value="PR"/>
    <xs:enumeration value="RI"/>
    <xs:enumeration value="SC"/>
    <xs:enumeration value="SD"/>
    <xs:enumeration value="TN"/>
    <xs:enumeration value="TX"/>
    <xs:enumeration value="UT"/>
    <xs:enumeration value="VA"/>
    <xs:enumeration value="VT"/>
    <xs:enumeration value="WA"/>
    <xs:enumeration value="WI"/>
    <xs:enumeration value="WV"/>
    <xs:enumeration value="WY"/>
    <xs:enumeration value="VI"/>
  </xs:restriction>
</xs:simpleType>
```

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Simple Type: stringPreserveWhiteSpaces

Super-types:	xs:string < **stringPreserveWhiteSpaces** (by restriction)
Sub-types:	BooleanYNType (by restriction) EntityTypeCodeType (by restriction) StateCodeType (by restriction) CountryCodeType (by restriction)

Name	stringPreserveWhiteSpaces
Content	Base XSD Type: string *Whitespace policy:* preserve

Schema Component Representation

```
<xs:simpleType name="stringPreserveWhiteSpaces">
  <xs:restriction base="xs:string">
    <xs:whiteSpace value="preserve"/>
  </xs:restriction>
</xs:simpleType>
```

Table of Contents

Simple Type: StringRestricted11Type

Super-types:	xs:string < **StringRestricted11Type** (by restriction)
Sub-types:	None

Name	StringRestricted11Type
Content	Base XSD Type: string *length* <= 11

Schema Component Representation

```
<xs:simpleType name="StringRestricted11Type">
  <xs:restriction base="xs:string">
    <xs:maxLength value="11"/>
  </xs:restriction>
</xs:simpleType>
```

Table of Contents

Simple Type: StringRestricted128Type

Super-types:	xs:string < **StringRestricted128Type** (by restriction)
Sub-types:	None

Name	StringRestricted128Type
Content	Base XSD Type: string *length* <= 128

Schema Component Representation

```
<xs:simpleType name="StringRestricted128Type">
  <xs:restriction base="xs:string">
    <xs:maxLength value="128"/>
  </xs:restriction>
</xs:simpleType>
```

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Simple Type: StringRestricted15Type

Super-types:	xs:string < **StringRestricted15Type** (by restriction)
Sub-types:	None

Name	StringRestricted15Type
Content	Base XSD Type: string *length* <= 15

Schema Component Representation

```
<xs:simpleType name="StringRestricted15Type">
  <xs:restriction base="xs:string">
    <xs:maxLength value="15"/>
  </xs:restriction>
</xs:simpleType>
```

Table of Contents

Simple Type: StringRestricted1Type

Super-types:	xs:string < **StringRestricted1Type** (by restriction)
Sub-types:	None

Name	StringRestricted1Type
Content	Base XSD Type: string *length* <= 1

Schema Component Representation

```
<xs:simpleType name="StringRestricted1Type">
  <xs:restriction base="xs:string">
    <xs:maxLength value="1"/>
  </xs:restriction>
</xs:simpleType>
```

Table of Contents

Simple Type: StringRestricted2000Type

Super-types:	xs:string < **StringRestricted2000Type** (by restriction)
Sub-types:	None

Name	StringRestricted2000Type
Content	Base XSD Type: string *length* <= 2000

Schema Component Representation

```
<xs:simpleType name="StringRestricted2000Type">
  <xs:restriction base="xs:string">
    <xs:maxLength value="2000"/>
  </xs:restriction>
</xs:simpleType>
```

Table of Contents

Simple Type: StringRestricted20Type

Super-types:	xs:string < **StringRestricted20Type** (by restriction)
Sub-types:	None

Name	StringRestricted20Type
Content	Base XSD Type: string *length* <= 20

Schema Component Representation

```
<xs:simpleType name="StringRestricted20Type">
  <xs:restriction base="xs:string">
    <xs:maxLength value="20"/>
  </xs:restriction>
</xs:simpleType>
```

Table of Contents

Simple Type: StringRestricted256Type

Super-types:	xs:string < **StringRestricted256Type** (by restriction)
Sub-types:	None

Name	StringRestricted256Type
Content	Base XSD Type: string *length* <= 256

Schema Component Representation

```
<xs:simpleType name="StringRestricted256Type">
  <xs:restriction base="xs:string">
    <xs:maxLength value="256"/>
  </xs:restriction>
</xs:simpleType>
```

Table of Contents

Simple Type: StringRestricted25Type

Super-types:	xs:string < **StringRestricted25Type** (by restriction)
Sub-types:	None

Name	StringRestricted25Type
Content	Base XSD Type: string *length* <= 25

Schema Component Representation

```
<xs:simpleType name="StringRestricted25Type">
  <xs:restriction base="xs:string">
    <xs:maxLength value="25"/>
  </xs:restriction>
</xs:simpleType>
```

Table of Contents

Simple Type: StringRestricted27Type

Super-types:	xs:string < **StringRestricted27Type** (by restriction)
Sub-types:	None

Name	StringRestricted27Type
Content	Base XSD Type: string *length* <= 27

Schema Component Representation

```
<xs:simpleType name="StringRestricted27Type">
  <xs:restriction base="xs:string">
    <xs:maxLength value="27"/>
  </xs:restriction>
</xs:simpleType>
```

Table of Contents

Simple Type: StringRestricted3Type

Super-types:	xs:string < **StringRestricted3Type** (by restriction)
Sub-types:	None

Name	StringRestricted3Type
Content	• Base XSD Type: string • *length* <= 3

Schema Component Representation

```
<xs:simpleType name="StringRestricted3Type">
  <xs:restriction base="xs:string">
    <xs:maxLength value="3"/>
  </xs:restriction>
</xs:simpleType>
```

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Simple Type: StringRestricted50Type

Super-types:	xs:string < **StringRestricted50Type** (by restriction)
Sub-types:	None

Name	StringRestricted50Type
Content	• Base XSD Type: string • *length* <= 50

Schema Component Representation

```
<xs:simpleType name="StringRestricted50Type">
  <xs:restriction base="xs:string">
    <xs:maxLength value="50"/>
  </xs:restriction>
</xs:simpleType>
```

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Simple Type: StringRestricted512Type

Super-types:	xs:string < **StringRestricted512Type** (by restriction)
Sub-types:	None

Name	StringRestricted512Type
Content	• Base XSD Type: string • *length* <= 512

Schema Component Representation

```
<xs:simpleType name="StringRestricted512Type">
  <xs:restriction base="xs:string">
    <xs:maxLength value="512"/>
  </xs:restriction>
</xs:simpleType>
```

Table of Contents

Simple Type: StringRestricted5Type

Super-types:	xs:string < **StringRestricted5Type** (by restriction)
Sub-types:	None

Name	StringRestricted5Type
Content	• Base XSD Type: string • *length* <= 5

Schema Component Representation

```
<xs:simpleType name="StringRestricted5Type">
  <xs:restriction base="xs:string">
    <xs:maxLength value="5"/>
  </xs:restriction>
</xs:simpleType>
```

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Simple Type: StringRestricted64Type

Super-types:	xs:string < **StringRestricted64Type** (by restriction)
Sub-types:	None

Name	StringRestricted64Type
Content	• Base XSD Type: string • *length* <= 64

Schema Component Representation

```
<xs:simpleType name="StringRestricted64Type">
  <xs:restriction base="xs:string">
    <xs:maxLength value="64"/>
  </xs:restriction>
</xs:simpleType>
```

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Simple Type: StringRestricted8Type

Super-types:	xs:string < **StringRestricted8Type** (by restriction)
Sub-types:	None

Name	StringRestricted8Type
Content	• Base XSD Type: string • *length* <= 8

Schema Component Representation

```
<xs:simpleType name="StringRestricted8Type">
  <xs:restriction base="xs:string">
    <xs:maxLength value="8"/>
  </xs:restriction>
</xs:simpleType>
```

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Schema Properties

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Global Declarations

Element: NSGBatchResults

Name	NSGBatchResults
Type	Locally-defined complex type
Nillable	no
Abstract	no

XML Instance Representation

```
<NSGBatchResults
 UserBatchRef="xsd:string (length >= 1) (Whitespace policy: collapse)[1]"
 NSGBatchRef="xsd:string (length >= 1) (Whitespace policy: collapse)[0..1]"
 Email="xsd:string (length >= 5) (Whitespace policy: collapse)[0..1]"
 StartTime="xsd:dateTime[1]"
 UpLoadTime="xsd:dateTime[1]">
  <NSGResult
   UserBatchRef="xsd:string (length >= 1) (Whitespace policy: collapse)[1]"
   NSGBatchRef="xsd:string (length >= 3) (Whitespace policy: collapse)[0..1]"
   NSGSeqId="xsd:string (length >= 0) (Whitespace policy: collapse)[1]"
   UserReqRef="xsd:string (length >= 1) (Whitespace policy: collapse)[0..1]"
   StartTime="xsd:dateTime[1]"
   EndTime="xsd:dateTime[1]"
   NSGResultSuccessCode="xsd:string (value comes from list: {'N'|'Y'})[1]"> [0..5000]
     <CRDFormResults> CRDFormResultsType </CRDFormResults> [1]
  </NSGResult>
</NSGBatchResults>
```

Schema Component Representation

```
<xsd:element name="NSGBatchResults">
  <xsd:complexType>
    <xsd:sequence>
      <xsd:element name="NSGResult" minOccurs="0" maxOccurs="5000">
        <xsd:complexType>
          <xsd:sequence>
            <xsd:element name="CRDFormResults" type="CRDFormResultsType"/>
          </xsd:sequence>
          <xsd:attribute name="UserBatchRef" use="required">
            <xsd:simpleType>
              <xsd:restriction base="xsd:string">
                <xsd:minLength value="1"/>
                <xsd:maxLength value="128"/>
                <xsd:whiteSpace value="collapse"/>
              </xsd:restriction>
            </xsd:simpleType>
          </xsd:attribute>
          <xsd:attribute name="NSGBatchRef" use="optional">
            <xsd:simpleType>
              <xsd:restriction base="xsd:string">
                <xsd:minLength value="3"/>
                <xsd:maxLength value="128"/>
                <xsd:whiteSpace value="collapse"/>
              </xsd:restriction>
```

```
            </xsd:simpleType>
          </xsd:attribute>
          <xsd:attribute name="NSGSeqId" use="required">
            <xsd:simpleType>
              <xsd:restriction base="xsd:string">
                <xsd:minLength value="0"/>
                <xsd:maxLength value="4"/>
                <xsd:whiteSpace value="collapse"/>
              </xsd:restriction>
            </xsd:simpleType>
          </xsd:attribute>
          <xsd:attribute name="UserReqRef" use="optional">
            <xsd:simpleType>
              <xsd:restriction base="xsd:string">
                <xsd:minLength value="1"/>
                <xsd:maxLength value="128"/>
                <xsd:whiteSpace value="collapse"/>
              </xsd:restriction>
            </xsd:simpleType>
          </xsd:attribute>
          <xsd:attribute name="StartTime" type="xsd:dateTime" use="required"/>
          <xsd:attribute name="EndTime" type="xsd:dateTime" use="required"/>
          <xsd:attribute name="NSGResultSuccessCode" use="required">
            <xsd:simpleType>
              <xsd:restriction base="xsd:string">
                <xsd:enumeration value="N"/>
                <xsd:enumeration value="Y"/>
              </xsd:restriction>
            </xsd:simpleType>
          </xsd:attribute>
        </xsd:complexType>
      </xsd:element>
    </xsd:sequence>
    <xsd:attribute name="UserBatchRef" use="required">
      <xsd:simpleType>
        <xsd:restriction base="xsd:string">
          <xsd:minLength value="1"/>
          <xsd:maxLength value="128"/>
          <xsd:whiteSpace value="collapse"/>
        </xsd:restriction>
      </xsd:simpleType>
    </xsd:attribute>
    <xsd:attribute name="NSGBatchRef" use="optional">
      <xsd:simpleType>
        <xsd:restriction base="xsd:string">
          <xsd:minLength value="1"/>
          <xsd:maxLength value="128"/>
          <xsd:whiteSpace value="collapse"/>
        </xsd:restriction>
      </xsd:simpleType>
    </xsd:attribute>
    <xsd:attribute name="Email" use="optional">
      <xsd:simpleType>
        <xsd:restriction base="xsd:string">
          <xsd:minLength value="5"/>
          <xsd:maxLength value="128"/>
          <xsd:whiteSpace value="collapse"/>
        </xsd:restriction>
      </xsd:simpleType>
    </xsd:attribute>
    <xsd:attribute name="StartTime" type="xsd:dateTime" use="required"/>
    <xsd:attribute name="UpLoadTime" type="xsd:dateTime" use="required"/>
  </xsd:complexType>
</xsd:element>
```

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Global Definitions

Complex Type: CRDFormResultsType

Super-types:	None
Sub-types:	None

Name	CRDFormResultsType

Abstract	no

XML Instance Representation

```
<...
 status="xsd:string (value comes from list: {'Failed'|'Success'|'CompleteWithErrors'})[1]"
 individualCRDNumber="xsd:string (length >= 1) (Whitespace policy: collapse)[0..1]"
 brnchPK="xsd:string (length >= 1) (Whitespace policy: collapse)[0..1]"
 formType="xsd:string (value comes from list: {''|'U4'|'U5'|'NRF'|'BR'})[0..1]"
 <!-- Filing Types for the Form BR filing
      Allowed values (code-description) are:
      INITIAL - Initial Filing
      AMENDMENT - Amendment Filing
      CLOSURE - Closure/ Withdrawal / Closure and Withdrawal Filing

      Filing Types for the Form U4 filing
      Allowed values (code-description) are:
      INITIAL - Initial Filing
      AMENDMENT - Amendment Filing
      DUAL-Dual
      P2BDAMEND-Page 2 BD Amendment
      P2BDINITIAL-Page 2 BD Initial
      RELICENSE-Relicense All
      RELICENSEBD-Relicense CRD
      RELICENSEIA-Relicense IA
      Filing Types for the Form U5 filing
      Allowed values (code-description) are:
      INITIAL - Initial Filing
      AMENDMENT - Amendment Filing
      FULL-Full
      PARTIAL-Partial
      Filing Types for the NRF filing
      Allowed values (code-description) are:
      INITIAL - Initial Filing
      AMENDMENT - Amendment Filing
-->
filingType="xsd:string (value comes from list:
{''|'INITIAL'|'AMENDMENT'|'CLOSURE'|'DUAL'|'FULL'|'P2BDAMEND'|'P2BDINITIAL'|'PARTIAL'|'RELICENSE'|'RELICENSEBD'|'RELICENSEIA
[0..1]"
 FilingPK="xsd:string (length >= 0)[0..1]"
 crdFilingRefNum="xsd:string (length >= 0)[0..1]">
   <CRDFormError
    errorCode="xsd:string (length >= 1) (Whitespace policy: collapse)[1]"
    <!-- Possible Error Codes and Messages for the Form BR filing
         200 - General System Error (Reference # : {Reference No})
         300 - Invalid XML content provided could not be processed.
         301 - Filing contains sections that are not applicable to this filing type.
         25028 - Could not find the Org in CRD.
         25029 - Could not find the Branch in CRD.
         25037 - {Sequence number} - You have provided a sequence number that is either incorrect or does not exist for
   this record.
         25038 - {Sequence number} - Sequence number is not required for the CrudCode Type I.
         25037 - {Sequence number} - Sequence number is required for the CrudCode Type {U or D}.
         Filing contains sections that are not applicable to this filing type.
         16704 - branch is the only registered Office of Employment Address provided for an individual(s) associated
   with this branch. All individuals must be associated to another branch office prior to submission of this filing.
         100001 - {Display field name} is a required field.(Display fields could be : Address Street 1, Address City,
   Address Country, 1.H.Branch Telephone Number, 3.A.(1). Other Business Activity,
         3.B.(1). Other Business Names, 3.B.(2). Other Business Names - Name, 3.C.(1). Other Websites, 3.C.(2). Other
   Websites - Website Address, 4.A. Name, 4.A. Affiliate, 4.A. Type of Entity, 4.B. Name, 4.B. Type of Person,
         4.D.(a). Name, 4.D.(a). Type of Person, 4.E. First Name, 4.E. Last Name, 4.E. Daytime Telephone Number, 4.E.
   Email Address, 6.A. Date operations ceased or will cease at this branch office, 6.B. Email Address,
         7.A. Date of Withdrawal, 7.B. Reason for Withdrawal, 7.C. First Name,
         7.C. Last Name, 7.C. Daytime Telephone Number, 8. Signature of Appropriate Signatory, 8. Name, 8. Title, 8.
   Telephone Number, 8. Date)
         100002 - Address - When the Country entered is the United States, a State must be provided.
         100003 - Address - When a State is provided, the Country provided must be the United States. Edit the Country
   and/or State.
         200012 - The address entered in Street 1 contains a Post Office Box. Your response to Street 1 must be a street
   address.
         100004 - If you supplied a State, you must enter a Postal Code for Postal Code.
         100005 - The Postal Code provided for Postal Code must be in one of the following formats; 99999-9999 or 99999.
         1000051 - The Postal Code provided for 1.F. Branch Address is not valid for the state provided. Edit the State
   and/or Postal Code.
         16680 - Broker-Dealer checkbox for 2.C. Type of Branch Office Registration/Notice Filing must be selected.
         16701 - This firm does not hold an active BD registration. Broker-Dealer checkbox for the 2.C. Type of Branch
   Office Registration/Notice Filing may not be selected.
         16638 - A firm may not open a branch office with FINRA when the firm does not have an active FINRA
   registration.
```

16688 - At least one branch office registration must be requested.
16639 - A firm may not open a branch office with NYSE when the firm does not have an active NYSE registration.
16710 - Either the Investment Adviser or Broker-Dealer for Type of Branch Office Registration/Notice Filing is mandatory.
16700 - This firm does not hold an active IA registration in the jurisdiction where the branch office is located. Investment Adviser checkbox for the Type of Branch Office Registration/Notice Filing may not be selected.
16559 - This firm holds an active registration with the NYSE. The NYSE checkbox is mandatory when the branch is not located in a state that has a broader branch definition.
16655 - This firm holds an active registration with FINRA. The FINRA checkbox is mandatory when the branch is not located in a state that has a broader branch definition.
16718 - A firm may not check the 2.A. Jurisdiction checkbox for a branch located in a jurisdiction that does not require branch office registration or notice filing.
16719 - A firm may not check the 2.A. Jurisdiction checkbox when the branch is located in a country other than the United States.
16722 - A firm may not check the Investment Adviser checkbox under Type of Branch Office Registration/Notice Filing for a branch located in a state that does not require IA branch registration or IA branch notice filing.
16723 - A firm may not check the Broker-Dealer checkbox under Type of Branch Office Registration/Notice Filing for a branch located in a state that does not require BD branch registration or BD branch notice filing.
16557 - A firm may not open a branch office in a jurisdiction where the firm does not have a BD or IA registration.
16724 - This firm holds an active registration with the jurisdiction where the branch is located. The 2.A. Jurisdiction checkbox is mandatory when the firm holds an active registration with the jurisdiction where the branch is located.
16577 - At least one Type of Financial Industry Activity is required.
16923 - Retail and/or Institutional have been selected under 2.D. Types of financial industry activities conducted by the applicant at this branch office; therefore it is required to select Sales.
16924 - Other has been selected 2.D. Types of financial industry activities conducted by the applicant at this branch office; therefore it is required to provide description against Other.
16560 - This firm holds an active registration with FINRA or NYSE. A response to the 2.E. Is this branch office an Office of Supervisory Jurisdiction (OSJ)? question is mandatory.
16933 - This firm does not hold an active registration with FINRA or NYSE. A response to the 2.E. Is this branch office an Office of Supervisory Jurisdiction (OSJ)? question is not required to be answered.
16934 - This firm does not hold an active registration with FINRA or NYSE. Therefore, Supervisor Detail or Supervisory OSJ Branch Detail or Person-In-Charge Detail should not be provided.
16563 - This branch office has been indicated as a non-OSJ branch. Therefore, please provide details of at least one Supervisory OSJ branch and corresponding OSJ supervisor in the Supervisory OSJ Branch Detail section.
16936 - This branch office has been indicated as a non-OSJ branch. Therefore, please provide at least one Person-In-Charge in Person-In-Charge Detail section.
16935 - This branch office has been indicated as a non-OSJ branch. Therefore, please do not provide details of Supervisor(s) physically located at this OSJ in the Supervisor Detail section.
16562 - OSJ Supervisor CRD number provided is invalid. The individual provided is not a supervisor of the OSJ branch.
16931 - The OSJ Supervisor {Supervisor CRD Number} listed does not hold an active IA or RR employment with this firm.
16564 - A valid Branch number is required for the Supervisory OSJ Branch CRD Number field. The Branch CRD number {Supervisor CRD Number} entered must have Active FINRA or NYSE notice filing status, be an OSJ Branch, and be associated with the filing firm.
16685 - The Supervisory OSJ Branch CRD Number cannot be the same as the Branch CRD Number of the filing branch.
16946 - The OSJ Supervisor {Supervisor CRD Number} listed does not hold the required FINRA registration with this firm. Every OSJ Supervisor should hold an approved-equivalent FINRA registration with a status other than CE Inactive, Inactive Prints, or Suspended OR a deficient FINRA registration with only a Pending Firm Approval deficiency with this firm.
16945 - The OSJ Supervisor {Supervisor CRD Number} listed does not hold the required NYSE registration with this firm. Every OSJ Supervisor should hold an approved-equivalent NYSE registration with a status other than CE Inactive, Inactive Prints, or Suspended OR a deficient NYSE registration with only a Pending Firm Approval deficiency with this firm.
16948 - 2.E.(2). OSJ Supervisor CRD Number {Supervisor CRD Number} and Branch CRD {OSJ Branch CRD Number} record does not exist for this Branch office. Therefore it cannot be updated or deleted.
16949 - 2.E.(2). OSJ Supervisor CRD Number {Supervisor CRD Number} and Branch CRD {OSJ Branch CRD Number} record cannot be listed more than once. Please include the OSJ supervisor only once with the listed OSJ supervising Branch.
16950 - 2.D. Types of financial industry activities conducted by the applicant at this branch office - Other description is not allowed when financial industry activity Other is not indicated as selected. Please remove Other description or select Other.
16951 - {Supervisor/Person-In-Charge CRD Number} is already listed as a Supervisor or a Person-In-Charge. To change the role type or activity description, please update the record.
16952 - {Supervisor/Person-In-Charge CRD Number} - You have provided a CRD number that is either incorrect or does not exist for this record.
16651 - This branch office has been indicated as an OSJ branch. Therefore, please provide details of at least one Supervisor that is physically located at this OSJ in the Supervisor Detail section.
16596 - This branch office has been indicated as an OSJ branch. Therefore, please do not provide details of Supervisory OSJ branches and corresponding OSJ supervisors in the Supervisory OSJ Branch Detail section.
16928 - This branch office has been indicated as an OSJ branch. Therefore, please do not provide any Person(s)-In-Charge in Person-In-Charge Detail section.
16575 - The Supervisor {Supervisor CRD Number} listed does not hold an active IA or RR employment with this firm.
16576 - The Person-In-Charge {Supervisor CRD Number} listed does not hold an active IA or RR employment with this firm.
16570 - The Person-In-Charge {Supervisor CRD Number} listed does not hold the required FINRA registration with this firm. Every Person-In-Charge should hold an approved-equivalent FINRA registration with a status other than CE

Inactive, Inactive Prints, Suspended OR a deficient FINRA registration with only a Pending Firm Approval deficiency with this firm.

16944 - The Supervisor {Supervisor CRD Number} listed does not hold the required FINRA registration with this firm. Every Supervisor should hold an approved-equivalent FINRA registration with a status other than CE Inactive, Inactive Prints, or Suspended OR a deficient FINRA registration with only a Pending Firm Approval deficiency with this firm.

16941 - The Person-In-Charge {Supervisor CRD Number} listed does not hold the required NYSE registration with this firm. Every Person-In-Charge should hold an approved-equivalent NYSE registration with a status other than CE Inactive, Inactive Prints, or Suspended OR a deficient NYSE registration with only a Pending Firm Approval deficiency with this firm.

16943 - The Supervisor {Supervisor CRD Number} listed does not hold the required NYSE registration with this firm. Every Supervisor should hold an approved-equivalent NYSE registration with a status other than CE Inactive, Inactive Prints, or Suspended OR a deficient NYSE registration with only a Pending Firm Approval deficiency with this firm.

16571 - A valid Supervisor is required. At least one of the Supervisor(s) listed should hold an approved-equivalent FINRA principal registration with a status other than CE Inactive, Inactive Prints or Suspended, OR a FINRA principal registration with only a Pending Firm Approval deficiency with this firm.

16573 - A valid Supervisor is required. At least one of the Supervisor(s) listed should hold an approved equivalent principal registration with this firm with a status other than CE Inactive, Inactive Prints, or Suspended, OR a deficient principal registration with only a Pending Firm Approval deficiency with this firm.

16929 - A valid OSJ Supervisor is required for every Supervisory OSJ branch included. At least one of the OSJ Supervisor(s) listed for Branch {Supervisor CRD Number} should hold an approved-equivalent FINRA principal registration with a status other than CE Inactive, Inactive Prints or Suspended OR a deficient FINRA principal registration with only a Pending Firm Approval deficiency with this firm.

16942 - A valid OSJ Supervisor is required for every Supervisory OSJ branch included. At least one of the OSJ Supervisor(s) listed for Branch {Supervisor CRD Number} should hold an approved-equivalent principal registration with a status other than CE Inactive, Inactive Prints, or Suspended OR a deficient principal registration with only a Pending Firm Approval deficiency with this firm.

16932 - An Individual {Individual CRD Number} may not be added to both the Associated Individual and Supervisor lists. Please remove the individual from the appropriate section.

16937 - An Individual {Individual CRD Number} may not be added to both the Associated Individual and Person-In-Charge lists. Please remove the individual from the appropriate section.

16938 - An Individual {Individual CRD Number} may not be added to both the Associated Individual and OSJ Supervisors lists. Please remove the individual from the appropriate section.

330000 - When Question 3.A.(1). Other Business Activity is answered No, then 3.A.(2). Other Business Activity details must not be provided.

330001 - When Question 3.A.(1). Other Business Activity is answered Yes, then at least one detail must be provided in question 3.A.(2). Other Business Activity.

330002 - When a response is provided for at least one of the 3.A.(2). Other Business Activity detail, then all details for that activity must be provided.

330003 - When Question 3.B.(1). Other Business Names is answered No, then 3.B.(2). Other Business Names detail must not be provided.

330004 - When Question 3.B.(1). Other Business Names is answered Yes, then at least one detail must be provided for 3.B.(2). Other Business Names.

330005 - When Question 3.C.(1). Other Websites is answered No, then 3.C.(2). Other Websites detail must not be provided.

330006 - When Question 3.C.(1). Other Websites is answered Yes, then at least one detail must be provided for 3.C.(2). Other Websites.

4000 - The question 4.A Does the branch office occupy or share space with or jointly market with any other investment-related entity? must be answered yes or no.

4001 - If the question 4.A Does the branch office occupy or share space with or jointly market with any other investment-related entity?: is answered yes, then at least one investment-related entity must be provided.

4003 - If the question 4.A Does the branch office occupy or share space with or jointly market with any other investment-related entity? is answered no, then an investment-related entity cannot be provided.

4002 - If the question 4.A Does the branch office occupy or share space with or jointly market with any other investment-related entity? is answered yes and the Type of Entity Other is selected, then Other description cannot be empty.

40021 - 4.A. Type of Entity - Other Description is not allowed when Type of Entity Other is not indicated as selected. Please remove Other description or select Other.

4005 - The question 4.B Is this branch office a business location that will operate pursuant to a written agreement or contract (other than an insurance agency agreement) with the main office? must be answered yes or no.

4006 - If the question 4.B Is this branch office a business location that will operate pursuant to a written agreement or contract (other than an insurance agency agreement) with the main office? is answered yes, then at least one Entity or Person is required.

4007 - If the question 4.B Is this branch office a business location that will operate pursuant to a written agreement or contract (other than an insurance agency agreement) with the main office? question is answered no, then an Entity or Person cannot be provided.

4008 - The question 4.C Does this branch office have primary responsibility for decisions relating to the employment and remuneration of its associated individuals at this location? must be answered yes or no.

4009 - The question 4.D Does any person other than the applicant have responsibility, directly or indirectly, for paying the expenses of this branch office or otherwise have a financial interest in this branch office or its activities? must be answered yes or no.

4010 - If the question 4.D Does any person other than the applicant have responsibility, directly or indirectly, for paying the expenses of this branch office or otherwise have a financial interest in this branch office or its activities? is answered yes, then at least one Entity/Individual is required.

4012 - If the question 4.D Does any person other than the applicant have responsibility, directly or indirectly, for paying the expenses of this branch office or otherwise have a financial interest in this branch office or its activities?: is answered yes, then an Explanation must be provided.

4011 - If the question 4.D Does any person other than the applicant have responsibility, directly or indirectly, for paying the expenses of this branch office or otherwise have a financial interest in this branch

```
office or its activities? is answered no, then Entity/Individual cannot be provided.
      4013 - If the question 4.D Does any person other than the applicant have responsibility, directly or
indirectly, for paying the expenses of this branch office or otherwise have a financial interest in this branch
office or its activities? is answered no, then a response to Explanation is not allowed.
      4018 - If the question 4.D Registered is answered yes, then CRD# is required.
      4024 - The question 4.D Registered must be answered yes or no.
      4015 - The question 4.E Are any of the records pertaining to this branch office maintained at any other
location, other than this office, the main office, or in the case of a non-OSJ, its supervisory OSJ? must be answered
yes or no.
      4016 - If the question 4.E Are any of the records pertaining to this branch office maintained at any other
location, other than this office, the main office, or in the case of a non-OSJ, its supervisory OSJ? is answered yes,
then at least one record-location/contact person is required.
      4017 - If the question 4.E Are any of the records pertaining to this branch office maintained at any other
location, other than this office, the main office, or in the case of a non-OSJ, its supervisory OSJ? is answered no,
then record-location/contact person cannot be provided.
      4020 - {CRD Number} - The CRD Number entered was not found.
      4022 - {CRD Number} - There are Types of Persons listed with duplicate CRD Numbers.
      4023 - {EIN Number} - There are Types of Persons listed with duplicate EIN Numbers.
      16708 - An Individual may not be added to both the Associated Individual and Supervisor/Person-In-Charge
lists.Please remove the individual from the appropriate field.
      16595 - Individuals that do not have an active IA or RR firm association with the filing firm are not allowed
to be added to the Associated Individuals list.The following Associated Individual {Individual CRD Number} does not
hold an active firm association with this firm.
      200001 - {Date field} cannot be a future date.
      16621 - During renewals, a firm can use a previous date, current date or post date for the Date Operations
Ceased, however, if using a post date it must be 12/31 of the current year.
      6002 - 6.A. Date operations ceased or will cease at this branch office cannot be prior to the date the branch
was opened.
      6003 - At least one Location of Books and Records Address entry must be provided in question 6.B.
      6004 - Please provide all details First Name, Last Name, Daytime Telephone, and Email Address for question 6.B
Contact Person.
      6005 - One or more location(s) of books and records have been provided in question 6.B. Contact Person details
are required for at least one of those locations.
      6006 - At least one associated individual at this branch office has a begin date of 6.A. Date operations ceased
or will cease at this branch office cannot be prior to that date." -->
errorMessage="xsd:string (length >= 1) (Whitespace policy: collapse)[1]"/> [0..*]
</...>
```

Schema Component Representation

```
<xsd:complexType name="CRDFormResultsType">
  <xsd:sequence>
    <xsd:element name="CRDFormError" minOccurs="0" maxOccurs="unbounded">
      <xsd:complexType>
        <xsd:attribute name="errorCode" use="required">
          <xsd:simpleType>
            <xsd:restriction base="xsd:string">
              <xsd:minLength value="1"/>
              <xsd:maxLength value="10"/>
              <xsd:whiteSpace value="collapse"/>
            </xsd:restriction>
          </xsd:simpleType>
        </xsd:attribute>
        <xsd:attribute name="errorMessage" use="required">
          <xsd:simpleType>
            <xsd:restriction base="xsd:string">
              <xsd:minLength value="1"/>
              <xsd:maxLength value="1024"/>
              <xsd:whiteSpace value="collapse"/>
            </xsd:restriction>
          </xsd:simpleType>
        </xsd:attribute>
      </xsd:complexType>
    </xsd:element>
  </xsd:sequence>
  <xsd:attribute name="status" use="required">
    <xsd:simpleType>
      <xsd:restriction base="xsd:string">
        <xsd:enumeration value="Failed"/>
        <xsd:enumeration value="Success"/>
        <xsd:enumeration value="CompleteWithErrors"/>
      </xsd:restriction>
    </xsd:simpleType>
  </xsd:attribute>
  <xsd:attribute name="individualCRDNumber" use="optional">
    <xsd:simpleType>
      <xsd:restriction base="xsd:string">
        <xsd:minLength value="1"/>
        <xsd:maxLength value="10"/>
        <xsd:whiteSpace value="collapse"/>
```

```
      </xsd:restriction>
    </xsd:simpleType>
  </xsd:attribute>
  <xsd:attribute name="brnchPK" use="optional">
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      <xsd:restriction base="xsd:string">
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  </xsd:attribute>
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      <xsd:restriction base="xsd:string">
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        <xsd:enumeration value="U4"/>
        <xsd:enumeration value="U5"/>
        <xsd:enumeration value="NRF"/>
        <xsd:enumeration value="BR"/>
      </xsd:restriction>
    </xsd:simpleType>
  </xsd:attribute>
  <xsd:attribute name="filingType" use="optional">
    <xsd:simpleType>
      <xsd:restriction base="xsd:string">
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        <xsd:enumeration value="FULL"/>
        <xsd:enumeration value="P2BDAMEND"/>
        <xsd:enumeration value="P2BDINITIAL"/>
        <xsd:enumeration value="PARTIAL"/>
        <xsd:enumeration value="RELICENSE"/>
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        <xsd:enumeration value="RELICENSEIA"/>
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  </xsd:attribute>
  <xsd:attribute name="FilingPK" use="optional">
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      <xsd:restriction base="xsd:string">
        <xsd:minLength value="0"/>
        <xsd:maxLength value="128"/>
      </xsd:restriction>
    </xsd:simpleType>
  </xsd:attribute>
</xsd:complexType>
```

Table of Contents

Glossary

Abstract (Applies to complex type definitions and element declarations). An abstract element or complex type cannot used to validate an element instance. If there is a reference to an abstract element, only element declarations that can substitute the abstract element can be used to validate the instance. For references to abstract type definitions, only derived types can be used.

All Model Group Child elements can be provided *in any order* in instances. See: http://www.w3.org/TR/xmlschema-1/#element-all.

Choice Model Group *Only one* from the list of child elements and model groups can be provided in instances. See: http://www.w3.org/TR/xmlschema-1/#element-choice.

Collapse Whitespace Policy Replace tab, line feed, and carriage return characters with space character (Unicode character 32). Then, collapse contiguous sequences of space characters into single space character, and remove leading and trailing space characters.

Disallowed Substitutions (Applies to element declarations). If *substitution* is specified, then substitution group members cannot be used in place of the given element declaration to validate element instances. If *derivation methods*, e.g. extension, restriction, are specified, then the given element declaration will not validate element instances that have types derived from the element declaration's type using the specified derivation methods. Normally, element instances can override their declaration's type by specifying an `xsi:type` attribute.

Key Constraint Like Uniqueness Constraint, but additionally requires that the specified value(s) must be provided. See: http://www.w3.org/TR/xmlschema-1/#cIdentity-constraint_Definitions.

Key Reference Constraint Ensures that the specified value(s) must match value(s) from a Key Constraint or Uniqueness Constraint. See: http://www.w3.org/TR/xmlschema-1/#cIdentity-constraint_Definitions.

Model Group Groups together element content, specifying the order in which the element content can occur and the number of times the group of element content may be repeated. See: http://www.w3.org/TR/xmlschema-1/#Model_Groups.

Nillable (Applies to element declarations). If an element declaration is nillable, instances can use the `xsi:nil` attribute. The `xsi:nil` attribute is the boolean attribute, *nil*, from the *http://www.w3.org/2001/XMLSchema-instance* namespace. If an element instance has an `xsi:nil` attribute set to true, it can be left empty, even though its element declaration may have required content.

Notation A notation is used to identify the format of a piece of data. Values of elements and attributes that are of type, NOTATION, must come from the names of declared notations. See: http://www.w3.org/TR/xmlschema-1/#cNotation_Declarations.

Preserve Whitespace Policy Preserve whitespaces exactly as they appear in instances.

Prohibited Derivations (Applies to type definitions). Derivation methods that cannot be used to create sub-types from a given type definition.

Prohibited Substitutions (Applies to complex type definitions). Prevents sub-types that have been derived using the specified derivation methods from validating element instances in place of the given type definition.

Replace Whitespace Policy Replace tab, line feed, and carriage return characters with space character (Unicode character 32).

Sequence Model Group Child elements and model groups must be provided *in the specified order* in instances. See: http://www.w3.org/TR/xmlschema-1/#element-sequence.

Substitution Group Elements that are *members* of a substitution group can be used wherever the *head* element of the substitution group is referenced.

Substitution Group Exclusions (Applies to element declarations). Prohibits element declarations from nominating themselves as being able to substitute a given element declaration, if they have types that are derived from the original element's type using the specified derivation methods.

Target Namespace The target namespace identifies the namespace that components in this schema belongs to. If no target namespace is provided, then the schema components do not belong to any namespace.

Uniqueness Constraint Ensures uniqueness of an element/attribute value, or a combination of values, within a specified scope. See: http://www.w3.org/TR/xmlschema-1/#cIdentity-constraint_Definitions.

Example 1 - Initial Filing


```xml
<? xml version = " 1.0 " encoding = " iso-8859-1 " ?>
< NSGBatch UserBatchRef = " BatchRegTest " Email = " some@mail.org " xmlns = " http://crd.nasd.com/2002/03/01/NSG-CRDFormFiling.xsd " xmlns:xsi = "
http://www.w3.org/2001/XMLSchema-instance " >
    < NSGRequest AppId = " CRDFF " UserReqRef = " test " >
        < BRXMLFiling xmlns:xsi = " http://www.w3.org/2001/XMLSchema-instance " xmlns:xsd = " http://www.w3.org/2001/XMLSchema " >
            < FilingType > INITIAL </ FilingType >
            < Version > 04/2014 </ Version >
            < FirmCRDNumber > 999 </ FirmCRDNumber >
            < Section1GeneralInformation >
                < BranchAddress >
                    < Street1 > Test Dec 30 </ Street1 >
                    < Street2 > 4 </ Street2 >
                    < City > 5 </ City >
                    < State > MD </ State >
                    < Country > USA </ Country >
                    < PostalCode > 99999 </ PostalCode >
                    < PrivateResidence > true </ PrivateResidence >
                </ BranchAddress >
                < BranchPhone > 7 </ BranchPhone >
                < BranchFax > 8 </ BranchFax >
                < BranchBillingCode > 1 </ BranchBillingCode >
                < BranchCodeNumber > 2 </ BranchCodeNumber >
            </ Section1GeneralInformation >
            < Section2Registration >
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                < BranchRegulatorNYSE > true </ BranchRegulatorNYSE >
                < BranchRegulatorJuris > false </ BranchRegulatorJuris >
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```

```
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                < EntityName > X INC. </ EntityName >
                < EntityTypeCode > FIRM </ EntityTypeCode >
                < CrudCode > I </ CrudCode >
            </ ArrangementContractEntity >
            < ArrangementContractEntity >
                < EntityCRDNumber >
                    < Value > 999 </ Value >
                </ EntityCRDNumber >
                < EntityName > X </ EntityName >
                < EntityTypeCode > INDVL </ EntityTypeCode >
                < CrudCode > I </ CrudCode >
            </ ArrangementContractEntity >
        </ ArrangementContractEntities >
        < ArrangementExpenseEntities >
            < ArrangementExpenseEntity >
                < EntityName > X CO. </ EntityName >
                < EntityCRDNumber >
                    < Value > 99 </ Value >
                </ EntityCRDNumber >
                < EntityTypeCode > FIRM </ EntityTypeCode >
                < EntityRegisteredFlag > Y </ EntityRegisteredFlag >
                < CrudCode > I </ CrudCode >
            </ ArrangementExpenseEntity >
            < ArrangementExpenseEntity >
```

```
                < EntityName > A </ EntityName >
                < EntityCRDNumber >
                    < Value > 99 </ Value >
                </ EntityCRDNumber >
                < EntityTypeCode > INDVL </ EntityTypeCode >
                < EntityRegisteredFlag > Y </ EntityRegisteredFlag >
                < CrudCode > I </ CrudCode >
            </ ArrangementExpenseEntity >
        </ ArrangementExpenseEntities >
        < ArrangementRecordLocations >
            < RecordLocation >
                < RecordsAtOtherLocationAddress >
                    < Street1 > 1 </ Street1 >
                    < Street2 > 2 </ Street2 >
                    < City > 3 </ City >
                    < State > MD </ State >
                    < Country > USA </ Country >
                    < PostalCode > 22222-1234 </ PostalCode >
                </ RecordsAtOtherLocationAddress >
                < ContactFirstName > 555 </ ContactFirstName >
                < ContactLastName > 6666 </ ContactLastName >
                < ContactTelephoneNumber > 7777 </ ContactTelephoneNumber >
                < ContactEmailAddress > 888@888.com </ ContactEmailAddress >
                < CrudCode > I </ CrudCode >
            </ RecordLocation >
            < RecordLocation >
                < RecordsAtOtherLocationAddress >
                    < Street1 > 10 </ Street1 >
                    < Street2 > 11 </ Street2 >
                    < City > 12 </ City >
                    < State > MD </ State >
                    < Country > USA </ Country >
                    < PostalCode > 22222-1234 </ PostalCode >
                </ RecordsAtOtherLocationAddress >
                < ContactFirstName > 14 </ ContactFirstName >
                < ContactLastName > 15 </ ContactLastName >
                < ContactTelephoneNumber > 16 </ ContactTelephoneNumber >
                < ContactEmailAddress > 17@17.com </ ContactEmailAddress >
                < CrudCode > I </ CrudCode >
            </ RecordLocation >
        </ ArrangementRecordLocations >
    </ Section4Arrangement >
    < Section5AssociatedIndividuals >
        < AssociatedIndividual >
            < IndividualCrdNumber > 99 </ IndividualCrdNumber >
        </ AssociatedIndividual >
        < AssociatedIndividual >
            < IndividualCrdNumber > 999 </ IndividualCrdNumber >
        </ AssociatedIndividual >
    </ Section5AssociatedIndividuals >
    < Section8Signature >
        < SignatureText > 1 </ SignatureText >
        < SignatureDate > 2002-02-02 </ SignatureDate >
        < SignatureContactName > 3 </ SignatureContactName >
        < SignatureContactTitle > 4 </ SignatureContactTitle >
        < SignatureContactTelephoneNumber > 5 </ SignatureContactTelephoneNumber >
        < SignatureContactEmailAddress > test@test.com </ SignatureContactEmailAddress >
    </ Section8Signature >
  </ BRXMLFiling >
</ NSGRequest >
</ NSGBatch >
```

Example 2 - Amendment Filing


```
<? xml version = " 1.0 " encoding = " iso-8859-1 " ?>
< NSGBatch UserBatchRef = " BatchRegTest " Email = " some@mail.org " xmlns = " http://crd.nasd.com/2002/03/01/NSG-CRDFormFiling.xsd " xmlns:xsi = "
http://www.w3.org/2001/XMLSchema-instance " >
    < NSGRequest AppId = " CRDFF " UserReqRef = " test " >
        < BRXMLFiling xmlns:xsi = " http://www.w3.org/2001/XMLSchema-instance " xmlns:xs = " http://www.w3.org/2001/XMLSchema " >
            < FilingType > AMENDMENT </ FilingType >
            < Version > 03/2014 </ Version >
            < FirmCRDNumber > 999 </ FirmCRDNumber >
            < Section1GeneralInformation >
                < BranchAddress >
                    < Street1 > 132 Main St </ Street1 >
                    < Street2 > STE # 231 </ Street2 >
                    < City > X </ City >
                    < State > MD </ State >
                    < Country > USA </ Country >
                    < PostalCode > 20850 </ PostalCode >
                    < PrivateResidence > false </ PrivateResidence >
                </ BranchAddress >
                < BranchPhone > 123-123-1234 </ BranchPhone >
                < BranchFax > 123-123-1235 </ BranchFax >
            </ Section1GeneralInformation >
            < Section2Registration >
                < BranchRegulatorFINRA > true </ BranchRegulatorFINRA >
                < BranchRegulatorNYSE > true </ BranchRegulatorNYSE >
                < BranchRegulatorJuris > false </ BranchRegulatorJuris >
                < BranchOfficeRegistrationTypeBD > true </ BranchOfficeRegistrationTypeBD >
                < BranchOfficeRegistrationTypeIA > false </ BranchOfficeRegistrationTypeIA >
                < OSJFlag > false </ OSJFlag >
                < MSRBMunicipalSupervisoryJurisdictionFlag > false </ MSRBMunicipalSupervisoryJurisdictionFlag >
                < ActivitySalesFlag > false </ ActivitySalesFlag >
                < ActivitySalesRtlFlag > false </ ActivitySalesRtlFlag >
                < ActivitySalesInstlFlag > false </ ActivitySalesInstlFlag >
                < ActivityNvsmtAdvsrFlag > false </ ActivityNvsmtAdvsrFlag >
                < ActivityNvsmtBankUndrwFlag > false </ ActivityNvsmtBankUndrwFlag >
                < ActivityRsrchFlag > true </ ActivityRsrchFlag >
                < ActivityMMFlag > true </ ActivityMMFlag >
                < ActivityBckOfcFlag > true </ ActivityBckOfcFlag >
                < ActivityPblcFnncFlag > false </ ActivityPblcFnncFlag >
                < ActivityOtherFlag > false </ ActivityOtherFlag >
                < ActivityOtherDesc />
                < SupervisingOSJSupervisors >
                    < SupervisingOSJSupervisor >
                        < CrudCode > U </ CrudCode >
                        < SupervisingOSJBranchCRDNumber > 99 </ SupervisingOSJBranchCRDNumber >
                        < SupervisingOSJSupervisorCRDNumber > 99 </ SupervisingOSJSupervisorCRDNumber >
                        < SupervisingOSJBranchBillingCode > 2CA </ SupervisingOSJBranchBillingCode >
                    </ SupervisingOSJSupervisor >
                </ SupervisingOSJSupervisors >
                < PersonsInCharge >
                    < PersonInCharge >
                        < CrudCode > U </ CrudCode >
                        < SupervisorPicCRDNumber > 99 </ SupervisorPicCRDNumber >
                    </ PersonInCharge >
                </ PersonsInCharge >
            </ Section2Registration >
            < Section3OtherBusiness >
                < OtherBusinessActivityFlag > false </ OtherBusinessActivityFlag >
                < OtherBusinessNameFlag > false </ OtherBusinessNameFlag >
                < OtherWebsiteFlag > false </ OtherWebsiteFlag >
            </ Section3OtherBusiness >
            < Section4Arrangement >
                < OfficeSharedWithOthersFlag > true </ OfficeSharedWithOthersFlag >
                < OperatesUndercontractFlag > true </ OperatesUndercontractFlag >
                < PrimaryResponsibilityForEmploymentFlag > true </ PrimaryResponsibilityForEmploymentFlag >
                < OtherExpenseResponsibilityFlag > true </ OtherExpenseResponsibilityFlag >
                < ExpenseArrangementDescription > Providing an explanation of the expense payment </ ExpenseArrangementDescription >
                < RecordsAtOtherLocationFlag > true </ RecordsAtOtherLocationFlag >
                < ArrangementSharedEntities >
                    < ArrangementSharedEntity >
                        < CrudCode > U </ CrudCode >
                        < SequenceNumber > 123 </ SequenceNumber >
                        < OfficeSharedWithOrganizationCRDNumber >
                            < Value > 99 </ Value >
                        </ OfficeSharedWithOrganizationCRDNumber >
                        < OfficeSharedWithOrganizationName > X, INC. </ OfficeSharedWithOrganizationName >
                        < OfficeSharedWithAffiliateFlag > N </ OfficeSharedWithAffiliateFlag >
                        < SharedWithBrokerDealer > true </ SharedWithBrokerDealer >
                        < SharedWithInvestmentAdviser > false </ SharedWithInvestmentAdviser >
                        < SharedWithCommodities > true </ SharedWithCommodities >
                        < SharedWithBank > true </ SharedWithBank >
                        < SharedWithCreditUnion > false </ SharedWithCreditUnion >
```

```
            < SharedWithSavingsBank > false </ SharedWithSavingsBank >
            < SharedWithSavingsAssociation > false </ SharedWithSavingsAssociation >
            < SharedWithFederallyInsuredInstitution > false </ SharedWithFederallyInsuredInstitution >
            < SharedWithInsurance > false </ SharedWithInsurance >
            < SharedWithRealEstate > false </ SharedWithRealEstate >
            < SharedWithOther > true </ SharedWithOther >
            < SharedWithOtherDescription > This is test institution </ SharedWithOtherDescription >
        </ ArrangementSharedEntity >
        < ArrangementSharedEntity >
            < CrudCode > I </ CrudCode >
            < OfficeSharedWithOrganizationCRDNumber >
                < Value > 99 </ Value >
            </ OfficeSharedWithOrganizationCRDNumber >
            < OfficeSharedWithOrganizationName > X COMPANY </ OfficeSharedWithOrganizationName >
            < OfficeSharedWithAffiliateFlag > Y </ OfficeSharedWithAffiliateFlag >
            < SharedWithBrokerDealer > false </ SharedWithBrokerDealer >
            < SharedWithInvestmentAdviser > false </ SharedWithInvestmentAdviser >
            < SharedWithCommodities > false </ SharedWithCommodities >
            < SharedWithBank > false </ SharedWithBank >
            < SharedWithCreditUnion > true </ SharedWithCreditUnion >
            < SharedWithSavingsBank > false </ SharedWithSavingsBank >
            < SharedWithSavingsAssociation > false </ SharedWithSavingsAssociation >
            < SharedWithFederallyInsuredInstitution > false </ SharedWithFederallyInsuredInstitution >
            < SharedWithInsurance > false </ SharedWithInsurance >
            < SharedWithRealEstate > false </ SharedWithRealEstate >
            < SharedWithOther > false </ SharedWithOther >
            < SharedWithOtherDescription />
        </ ArrangementSharedEntity >
    </ ArrangementSharedEntities >
    < ArrangementContractEntities >
        < ArrangementContractEntity >
            < CrudCode > U </ CrudCode >
            < SequenceNumber > 123 </ SequenceNumber >
            < EntityCRDNumber >
                < Value > 99 </ Value >
            </ EntityCRDNumber >
            < EntityName > X </ EntityName >
            < EntityTypeCode > INDVL </ EntityTypeCode >
        </ ArrangementContractEntity >
        < ArrangementContractEntity >
            < CrudCode > U </ CrudCode >
            < SequenceNumber > 123 </ SequenceNumber >
            < EntityCRDNumber >
                < Value > 99 </ Value >
            </ EntityCRDNumber >
            < EntityName > Y </ EntityName >
            < EntityTypeCode > FIRM </ EntityTypeCode >
        </ ArrangementContractEntity >
    </ ArrangementContractEntities >
    < ArrangementExpenseEntities >
        < ArrangementExpenseEntity >
            < CrudCode > U </ CrudCode >
            < SequenceNumber > 123 </ SequenceNumber >
            < EntityName > X </ EntityName >
            < EntityCRDNumber >
                < Value > 99 </ Value >
            </ EntityCRDNumber >
            < EntityEIN > 999-99-9999 </ EntityEIN >
            < EntityTypeCode > INDVL </ EntityTypeCode >
            < EntityRegisteredFlag > Y </ EntityRegisteredFlag >
        </ ArrangementExpenseEntity >
        < ArrangementExpenseEntity >
            < CrudCode > U </ CrudCode >
            < SequenceNumber > 123 </ SequenceNumber >
            < EntityName > X </ EntityName >
            < EntityCRDNumber >
                < Value > 99 </ Value >
            </ EntityCRDNumber >
            < EntityTypeCode > FIRM </ EntityTypeCode >
            < EntityRegisteredFlag > Y </ EntityRegisteredFlag >
        </ ArrangementExpenseEntity >
    </ ArrangementExpenseEntities >
    < ArrangementRecordLocations >
        < RecordLocation >
            < CrudCode > U </ CrudCode >
            < SequenceNumber > 123 </ SequenceNumber >
            < RecordsAtOtherLocationAddress >
                < Street1 > St </ Street1 >
                < Street2 > St2 </ Street2 >
                < City > City </ City >
                < State > CA </ State >
                < Country > USA </ Country >
                < PostalCode > 12345 </ PostalCode >
            </ RecordsAtOtherLocationAddress >
            < ContactFirstName > X </ ContactFirstName >
            < ContactLastName > Y </ ContactLastName >
```

```
                < ContactTelephoneNumber > 444 - 444 - 4444 </ ContactTelephoneNumber >
                < ContactEmailAddress > x.y@mail.com </ ContactEmailAddress >
            </ RecordLocation >
            < RecordLocation >
                < CrudCode > U </ CrudCode >
                < SequenceNumber > 123 </ SequenceNumber >
                < RecordsAtOtherLocationAddress >
                    < Street1 > 123 St </ Street1 >
                    < Street2 > Apt </ Street2 >
                    < City > city </ City >
                    < State > CA </ State >
                    < Country > USA </ Country >
                    < PostalCode > 99999 </ PostalCode >
                </ RecordsAtOtherLocationAddress >
                < ContactFirstName > X </ ContactFirstName >
                < ContactLastName > Y </ ContactLastName >
                < ContactTelephoneNumber > 555 - 555 - 5555 </ ContactTelephoneNumber >
                < ContactEmailAddress > x.y@mail.com </ ContactEmailAddress >
            </ RecordLocation >
        </ ArrangementRecordLocations >
    </ Section4Arrangement >
    < Section8Signature >
        < SignatureText > X </ SignatureText >
        < SignatureDate > 2014 - 01 - 07 </ SignatureDate >
        < SignatureContactName > N </ SignatureContactName >
        < SignatureContactTitle > PRESIDENT </ SignatureContactTitle >
        < SignatureContactTelephoneNumber > 222 - 222 - 2222 </ SignatureContactTelephoneNumber >
        < SignatureContactEmailAddress > x.y@MAIL.COM </ SignatureContactEmailAddress >
    </ Section8Signature >
    < BranchCRDNumber > 99 </ BranchCRDNumber >
  </ BRXMLFiling >
 </ NSGRequest >
</ NSGBatch >
```

Example 3 - Closing Filing


```xml
<? xml version = " 1.0 " encoding = " iso-8859-1 " ?>
< NSGBatch UserBatchRef = " BatchRegTest " Email = " some@mail.org " xmlns = " http://crd.nasd.com/2002/03/01/NSG-CRDFormFiling.xsd " xmlns:xsi = "
http://www.w3.org/2001/XMLSchema-instance " >
    < NSGRequest AppId = " CRDFF " UserReqRef = " test " >
        < BRXMLFiling xmlns:xsi = " http://www.w3.org/2001/XMLSchema-instance " xmlns:xs = " http://www.w3.org/2001/XMLSchema " >
            < FilingType > CLOSURE </ FilingType >
            < Version > 04/2014 </ Version >
            < FirmCRDNumber > 9 </ FirmCRDNumber >
            < BranchCRDNumber > 999 </ BranchCRDNumber >
            < Section6Closing >
                < OperationsCeasedDate > 2013-11-10 </ OperationsCeasedDate >
                < ClosingRecordLocations >
                    < RecordLocation >
                        < SequenceNumber > 9999 </ SequenceNumber >
                        < RecordsAtOtherLocationAddress >
                            < Street1 > XXX </ Street1 >
                            < Street2 > YYY </ Street2 >
                            < City > ZZZ </ City >
                            < State > CA </ State >
                            < Country > USA </ Country >
                            < PostalCode > 99999 </ PostalCode >
                        </ RecordsAtOtherLocationAddress >
                        < ContactFirstName > FN </ ContactFirstName >
                        < ContactLastName > LN </ ContactLastName >
                        < ContactTelephoneNumber > 999-999-9999 </ ContactTelephoneNumber >
                        < ContactEmailAddress > somename@mail.com </ ContactEmailAddress >
                        < CrudCode > U </ CrudCode >
                    </ RecordLocation >
                    < RecordLocation >
                        < SequenceNumber > 9999 </ SequenceNumber >
                        < RecordsAtOtherLocationAddress >
                            < Street1 > XXX </ Street1 >
                            < Street2 > YYY </ Street2 >
                            < City > ZZZ </ City >
                            < State > CA </ State >
                            < Country > USA </ Country >
                            < PostalCode > 99999 </ PostalCode >
                        </ RecordsAtOtherLocationAddress >
                        < ContactFirstName > FN </ ContactFirstName >
                        < ContactLastName > LN </ ContactLastName >
                        < ContactTelephoneNumber > 999-999-9999 </ ContactTelephoneNumber >
                        < ContactEmailAddress > somename@mail.com </ ContactEmailAddress >
                        < CrudCode > D </ CrudCode >
                    </ RecordLocation >
                    < RecordLocation >
                        < RecordsAtOtherLocationAddress >
                            < Street1 > XXX </ Street1 >
                            < Street2 > YYY </ Street2 >
                            < City > ZZZ </ City >
                            < State > CA </ State >
                            < Country > USA </ Country >
                            < PostalCode > 99999 </ PostalCode >
                        </ RecordsAtOtherLocationAddress >
                        < ContactFirstName > FN </ ContactFirstName >
                        < ContactLastName > LN </ ContactLastName >
                        < ContactTelephoneNumber > 999-999-9999 </ ContactTelephoneNumber >
                        < ContactEmailAddress > somename@mail.com </ ContactEmailAddress >
                        < CrudCode > I </ CrudCode >
                    </ RecordLocation >
                </ ClosingRecordLocations >
            </ Section6Closing >
            < Section8Signature >
                < SignatureText > XXX </ SignatureText >
                < SignatureDate > 2013-12-01 </ SignatureDate >
                < SignatureContactName > CN </ SignatureContactName >
                < SignatureContactTitle > CT </ SignatureContactTitle >
                < SignatureContactTelephoneNumber > 999-999-9999 </ SignatureContactTelephoneNumber >
                < SignatureContactEmailAddress > somename@MAIL.COM </ SignatureContactEmailAddress >
            </ Section8Signature >
        </ BRXMLFiling >
    </ NSGRequest >
</ NSGBatch >
```