



Dynamic Reporting Branch Data Definition

Version 0.4

07-13-20

DATE	AUTHOR	VERSION	DESCRIPTION
10-04-19	Zolboo Dashzeveg	0.1	Initial draft.
02-06-20	Zolboo Dashzeveg	0.2	Removed the count columns from the data dictionary. The count columns will appear in the report grid when any or all columns under a top-level column is selected to be displayed in the grid. For example, if you've selected Current Disclosures? column under Associated Individuals in Branch Roster template, you will need to click on the Associated Individuals count to see the individuals with Current Disclosures associated with the Branch.
06-23-20	Sarah Rose	0.3	Added branch registration statuses information, related OSJ branch CRD, website addresses, office type indicators, and other business names.
07-14-20	Sarah Rose	0.4	Updated formatting.

About the Data Dictionary

- Referring to the table below, the rows of data shown on a white background are available to add to the main table within Dynamic Reporting. The rows of data shown with a blue background are hierarchical and will appear in a subtable. The rows of data that are blue and white indicate the data point you will click on to expand the subtable.
- When you want to export data to a CSV file, you can include the main table (white rows) plus one subtable (blue rows). The export will flatten the hierarchy and present all data points in a single row.
- Sample values are listed for each field. If you want to know all the values available for a given field, you can use the Group tool in Dynamic Reporting and group by the given field. The grouped view will show you all values for that field available within your data at that point in time.
- If there is no data for a given field, it may show as "Missing" or "Other."

Data Field	Data Description	Sample Value(s)
ASSOCIATED INDIVIDUALS	The total number of individuals associated with the branch office and the individual details in the nested fields to drilldown on.	10
Active?	Is the individual's registration active?	Yes No
Archive Disclosures?	Does the individual have archived disclosures?	Yes No
Current Disclosures?	This indicates whether or not the individual associated with the branch office has current disclosures.	Yes No
First Name	The first name of the individual associated with the branch office.	John
Independent Contractor?	Is the individual an independent contractor?	Yes No
Individual CRD#	The identifier number of the individual associated with the branch office.	1122334
Individual Role	The role of the associated individual at the branch office.	Supervisor Person in charge Staff
Last Name	The last name of the individual associated with the branch office.	Doe
Middle Name	The middle name of the individual associated with the branch office.	Joe
Role Type	The role type of the associated individual to the branch office.	Located at Supervised from
Statutory Disqualification?	This indicates whether or not the individual associated with the branch office has statutory disqualifications.	Yes No
Suffix	The suffix of the individual associated with the branch office.	Jr.

Data Field	Data Description	Sample Value(s)
BRANCH ADDRESS	<i>Heading used only to group columns used in address. Does not appear as a column in the table.</i>	
Branch City Name	The city name registered for the branch office.	Los Angeles
Country Code	The country code registered for the branch office.	USA
Country Name	The country name registered for the branch office.	United States
Postal Code	The postal code registered for the branch office.	22222
State Code	The state code registered for the branch office.	CA
State Name	The state name registered for the branch office.	California
Street Address 1	The street address line 1 registered for the branch office.	1111 Name Street
Street Address 2	The street address line 2 registered for the branch office.	Unit 111
Branch Billing Code	The billing code for the branch.	ABC-123
Branch CRD#	The unique identifier of the branch office. For INITIAL pending filings, this is the unique temporary identifier of this branch office assigned by CRD that will be made permanent upon successful processing of the filing.	112233
Branch Code Number	The code number for the branch.	
Branch Deficiency Status	Deficiency status of the branch.	Clear
Branch FINRA District	The FINRA District the branch office is assigned to.	1-Los Angeles
Branch Fax Number	The fax number for the branch office.	222-333-5555
Branch Operational Status	The operational status of the branch.	ACTIVE INACTIVE

Data Field	Data Description	Sample Value(s)
Branch Shares Space?	Does the branch office occupy or share space with or jointly market with a bank, savings bank, savings association, credit union, or other federally insured depository institution?	Yes No
Branch Telephone Number	The phone number registered for the branch office.	222-333-4444
Branch Type	The type of branch.	BD Only IA Only Joint
Broker Dealer Main Office?	Is the branch the broker dealer main office?	Yes No
Contract to Operate?	Does the branch office operate pursuant to a written agreement or contract (other than an insurance agency agreement) with the firm's main office?	Yes No
Explanation of arrangement?	The explanation of the expense payment/financial interest arrangement for the branch office.	Block of text
Investment Adviser main office?	Is the branch the investment adviser main office?	Yes No
MSRB Office?	Is the branch an MSRB office?	Yes No
Non-registered Branch Identifier	The unique identifier of the non-registered branch office.	112244
Office of Supervisory Jurisdiction?	Is the branch the office of supervisory jurisdiction?	Yes No
Organization Applicant Name	The organization applicant name associated with the branch office.	Acme Firm, LLC
Organization CRD#	The organizations CRD ID.	22222

Data Field	Data Description	Sample Value(s)
Organization FINRA District	The FINRA district office ID assigned based on the postal code of the branch office.	1AB
Organization Primary Business Name	The organization primary business name associated with the branch office.	ABCD, INC.
Organization SEC 8 #	The organization SEC number associated with the branch office.	888
Organization SEC 801 #	The organization SEC number associated with the branch office.	12345
Organization SEC 802 #	The organization SEC number associated with the branch office.	67899
OTHER BUSINESS NAMES	A count of Other Business Names used by any individual to conduct investment-related activity of the firm other than those disclosed on the Firm's Form BD or Form ADV.	3
Other Business Name	The Other Business Name used by an individual to conduct investment-related activity of the firm other than those disclosed on the Firm's Form BD or Form ADV.	John Smith Services Group
Other record locations?	Does this branch store records at other locations?	Yes No
Pay expenses of this branch?	Does any person other than the individual have responsibility, directly or indirectly, for paying the expenses of the branch office or otherwise have a financial interest in this branch office or its activities?	Yes No
Postdated Close Date	The postdated closing date of the branch office on the Closing/Withdrawal Form BR.	YYYY-MM-DD
Private residence?	Is this branch located at a private residence?	Yes No

Data Field	Data Description	Sample Value(s)
Registered location?	Is this branch at a registered location?	Yes No
REGISTRATION STATUSES	The total number of the branch registrations and/or Notice Filings.	3
Registration current?	Is this the current Registration Status?	Yes No
Registration/Notice Filing Status	The registration or notice filing status description of the registration.	Open, Pending, Abandoned, Closed, etc.
Registration/Notice Filing Status Effective Date	The effective date of the registration or notice filing.	YYYY-MM-DD
SRO/Jurisdiction	The registration SRO/Jurisdiction name.	FINRA, New York Stock Exchange, etc
Responsible for employments?	Is this branch responsible for employments?	Yes No
SEC registration active?	Is the branch SEC registration active?	Yes No
Schedule Code E	The branch code number under old schedule E filing for the branch office.	101
State Registrations for BD firm active?	Are the state registrations for the BD firm active?	Yes No
State registrations for IA firm active?	Are the state registrations for the IA firm active?	Yes No

Data Field	Data Description	Sample Value(s)
SUPERVISING OSJ BRANCHES	Count of supervising OSJ branches	2
Related OSJ Branch CRD#	The CRD ID for the related OSJ branch	22222
Type of Branch Registration/Notice Filing	The type of branch registration/notice filings.	Broker-dealer
TYPE OF FINANCIAL ACTIVITIES	The total number of financial industry activities associated with the branch office.	10
Financial Activity Type	The type (code) of financial industry activities conducted by the branch office.	SALES_RTL OTHER RSRCH SALES_INSTL PBLC_FNNC NVSMT_BANK_UNDRW BCK_OFC NVSMT_ADVSR SALES NVSMT_BANK UNDRW MM
Financial Activity Type Name	The type (name) of financial industry activities conducted by the branch office.	Sales, Investment Banking, Underwriting, Research, etc
WEBSITE ADDRESSES	Count of website address(es) maintained by the branch other than the primary website used by the firm.	1
Website Address	Website address maintained by the branch other than the primary website used by the firm.	www.XYZfirmsite.com

