



Dynamic Reporting Branch Data Definition

Version 0.1

10-04-19



Revision History

Date	Author	Version	Description
10-04-19	ZD	0.1	Initial draft

Column Name	Column Definition	Column Value	Value Definition
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 CRD# example
Office of Supervisory Jurisdiction?	This indicates if the branch is an Office of Supervisory Jurisdiction.	Yes No	OSJ flag
Branch Billing Code	The firm billing code for the branch office.	LA01	Branch Billing Code example
Registered Location?	This indicates whether or not the branch office location is registered.	Yes No	Registered Location flag
Non-registered Branch Identifier	This indicates whether or not the branch office location is a non-registered location.	Yes No	Non-registered Branch flag
Branch Operational Status	The branch operational status code to indicate whether the branch office is active or inactive.	Active Inactive	Operational status
Branch Deficiency Status	The branch deficiency status code to indicate whether the branch office registration is clear or deficient.	Deficient Clear	Deficiency status
Broker Dealer Main Office?	This indicates if the branch is the main office branch for a broker-dealer type of branch.	Yes No	BD Main Office flag
Investment Adviser Main Office?	This indicates if the branch is the main office branch for an investment adviser type of branch.	Yes No	IA Main Office flag
Branch Type	The registration type code of the branch office.	Bd only Ia only Joint	Broker Dealer Investment Advisor Both
Branch Code Number	The branch code number for the branch office. This used to be the NYSE branch code number assigned by the NYSE.	AABB22Z	Branch Code Number example
Schedule E Code	The branch code number under old schedule E filing for the branch office.	ZZBB22A	Schedule E Code example
Explanation of arrangement?	The explanation of the expense payment/financial interest arrangement for the branch office.	The bank covers all operating expenses. Individuals are 100% responsible for the branch operating expenses.	2 examples of Arrangement Explanation
Branch Shares Space?	This indicates if the branch office will 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	Shares Space flag

Column Name	Column Definition	Column Value	Value Definition
Contract to Operate?	This indicates if the branch office operates pursuant to a written agreement or contract (other than an insurance agency agreement) with the firm's main office.	Yes No	Contract to Operate flag
<i>Branch Address</i>	The branch office address.		
Street Address 1	The street address line 1 registered for the branch office.	1111 Name Street	Street 1 example
Street Address 2	The street address line 2 registered for the branch office.	Unit 111	Street 2 example
Branch City Name	The city name registered for the branch office.	Los Angeles	City example
Country Code	The country code registered for the branch office.	USA	Country Code example
Country Name	The country name registered for the branch office.	United States	Country Name example
Postal Code	The postal code registered for the branch office.	22222	Postal Code example
State Code	The state code registered for the branch office.	CA	State Code example
State Name	The state name registered for the branch office.	California	State Name example
Branch Telephone Number	The phone number registered for the branch office.	222-333-4444	Branch Telephone Number example
Branch Fax Number	The fax number for the branch office.	222-333-5555	Branch Fax Number example
Branch FINRA District	The FINRA District the branch office is assigned to.	1-Los Angeles	Branch FINRA District example
Private Residence?	This indicating if the branch office address is a private residence.	Yes No	Private Residence flag
Other Record Locations?	This indicates if any of the records pertaining to this office are maintained at any other location other than this office, the main office, or in the case of a non-OSJ, its supervisory OSJ.	Yes No	Other Record Locations flag
MSRB Office?	Is the branch office an office of municipal supervisory jurisdiction, as defined under MSRB rules?	Yes No	MSRB Office flag
Responsible for Employments?	This indicates if the branch office will have primary responsibility for decisions relating to the employment and remuneration of its registered representatives.	Yes No	Responsible for Employments flag

Column Name	Column Definition	Column Value	Value Definition
Type of Branch Registration/Notice Filing	The registration or notice filing type of the branch office.	Broker Dealer Investment Advisor Broker Dealer, Investment Advisor	Type name
Branch Jurisdiction	The registered jurisdiction for the branch office or state which branch office operates in.	California	Branch jurisdiction example
Branch Registration/Notice Status	The registration or notice filing status of the branch office.	Open Closed/termed - failure to renew Term requested - no registration Pending Closed/termed Abandoned Closed Closed-mass transfer Suspended Term requested Closed-failure to renew Closed/termed - failure to renew - no registration Rejected Withdrawn Closed/termed - mass transfer Closed - mass transfer Deficient Revoked Closed/termed - mass transfer - no registration Denied Closed no form br filed Withdrawn - no form br filed Restricted Approval Closed/termed - no form br	Status name
Branch Registration/Notice Status Date	The registration or notice filing date of the branch office.	2020-02-02	YYYY-MM-DD

Column Name	Column Definition	Column Value	Value Definition
Branch FINRA Notice Status	The FINRA notice filing status of the branch office.	Closed Open Closed-mass transfer Closed no form br filed Deficient Closed - failure to renew	Status name
Branch FINRA Notice Status Date	The FINRA notice filing status date of the branch office.	2020-02-02	YYYY-MM-DD
Branch NYSE Notice Status	The NYSE notice filing status of the branch office.	Closed Open Closed - mass transfer Closed/termed Closed-mass transfer Closed no form br filed Deficient Closed - failure to renew Withdrawn Withdrawn - no form br filed Deficient Rejected Closed no form br filed Closed/termed - no form br	Status name
Branch NYSE Notice Status Date	The NYSE notice filing status date of the branch office.	2020-02-02	YYYY-MM-DD
Postdated Close Date	The postdated closing date of the branch office on the Closing/Withdrawal Form BR.	2020-02-02	YYYY-MM-DD
<i>Type of Financial Activities</i>	The financial industry activities associated with the branch office.		
Type of Financial Activities Count	The total number of financial activities associated with the branch office and the activity details in the nested fields.	10	Total number of associated activities example
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_	Type code

Column Name	Column Definition	Column Value	Value Definition
		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 - retail other Research sales - Institutional Public Finance Investment Banking/Underwriting Back Office Operations Investment Advisory Services Sales Investment Banking Underwriting Market Making/Trading	Type name
<i>Associated Individuals</i>	The individuals associated with the branch office.		
Associated Individuals Count	The total number of individuals associated with the branch office and the individual details in the nested fields.	10	Total number of associated individuals example
Individual CRD#	The identifier number of the individual associated with the branch office.	1122334	Individual CRD# example
First Name	The first name of the individual associated with the branch office.	John	First Name example
Last Name	The last name of the individual associated with the branch office.	Doe	Last Name example
Middle Name	The middle name of the individual associated with the branch office.	Joe	Middle Name example
Suffix	The suffix of the individual associated with the branch office.	Jr.	Suffix example
Individual Role	The individual's role at the associated branch office.	Supervisor Person in charge Staff	Branch role

Column Name	Column Definition	Column Value	Value Definition
Role Type	The individual's role type associated with branch office.	Located At Supervised From	Role type
Independent Contractor?	This indicates whether or not the individual associated with the branch office an independent contractor.	Yes No	Independent Contractor flag
Current Disclosures?	This indicates whether or not the individual associated with the branch office has current disclosures.	Yes No	Current Disclosures flag
Archive Disclosures?	This indicates whether or not the individual associated with the branch office has archived disclosures.	Yes No	Archive Disclosures flag
Statutory Disqualification?	This indicates whether or not the individual associated with the branch office has statutory disqualification.	Yes No	SD flag
Pay expenses of this branch?	This indicates if any person other than the individual has 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	Pay expenses flag
Organization Primary Business Name	The organization primary business name associated with the branch office.	ABCD, INC.	Firm Primary Business Name example
Organization Applicant Name	The organization applicant name associated with the branch office.	ABCD, INC.	Firm Applicant Name example
Organization CRD#	The firm identifier number associated with the branch office.	305022	Firm CRD example
Organization FINRA District	The FINRA district office ID assigned based on the postal code of the branch office.	1AB	Firm FINRA District example
Organization SEC 801 #	The organization SEC number associated with the branch office.	12345	Firm SEC 801 # example
Organization SEC 802 #	The organization SEC number associated with the branch office.	67899	Firm SEC 802 # example
Organization SEC 8 #	The organization SEC number associated with the branch office.	888	Firm SEC 8 # example

NOTE: Some columns may contain 'Null' or 'Empty' or 'White Space' values indicating that the value for this column does not exist or not applicable. These values should display as 'Missing' and should be grouped under the 'Missing' or 'Other' category.