



Dynamic Reporting Individual 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
Individual CRD#	The identifier number of the individual associated with the firm.	1122334	Individual CRD example
First Name	The first name of the individual associated with the firm.	John	First Name example
Last Name	The last name of the individual associated with the firm.	Doe	Last Name example
Middle Name	The middle name of the individual associated with the firm.	Joe	Middle Name example
Suffix	The suffix of the individual associated with the firm.	Jr.	Suffix example
Current CE Status	The current CE status of the individual associated with the firm. This indicates whether the individual's continuing education requirement needs fulfillment or is overdue, rendering them ineligible to conduct business.	2 year termed from industry Ce 2 year termed Ce inactive No ce status Required Satisfied Graduated	Status name
Branch Office Locations	The individual's associated branch office locations.		
Branch Office Locations Count	The total number of branch offices the individual is associated with and the office details in the nested fields.	10	Total number of branch offices example
Branch Address	The individual's associated branch office address.		
CRD Branch Number	The individual's associated branch office unique identifier.	112233	Branch CRD example
Branch Street Address 1	The individual's associated branch office street address line 1.	1111 Name Street	Street 1 example
Branch Street Address 2	The individual's associated branch office street address line 2.	Unit 111	Street 2 example
Branch City	The individual's associated branch office city name.	Los Angeles	City example
Branch Country Code	The individual's associated branch office country code.	USA	Country Code example
Branch Country Name	The individual's associated branch office country name.	United States	Country Name example
Branch Postal Code	The individual's associated branch office postal code.	22222	Postal Code example

Column Name	Column Definition	Column Value	Value Definition
Branch State Code	The individual's associated branch office state code.	CA	State Code example
Branch State Name	The individual's associated branch office state name.	California	State Name example
Branch Billing Code	The individual's associated branch office firm billing code.	LA01	Branch Billing Code example
Branch Code Number	The individual's associated branch office code number.	AABB22Z	Branch Code Number example
Branch FINRA District	The individual's associated branch office's assigned FINRA District.	1-Los Angeles	Branch FINRA District example
Non-registered Branch Identifier	This indicates whether or not the individual's associated branch office location is a non-registered location.	Yes No	Non-registered Branch flag
Location Start Date	The date individual started working at the branch office.	2020-02-02	YYYY-MM-DD
Location End Date	The date individual stopped working at the branch office.	2020-02-02	YYYY-MM-DD
Individual Role	The individual's role at the associated branch office.	Supervisor Person-in-charge Staff	Role name
Role Type	The individual's role type associated with branch office.	Located At Supervised From	Role type name
Branch Operational Status	The individual's associated branch office operational status code.	ACTV NACTV	Active Inactive
Private Residence?	This indicates whether or not the individual's associated branch office address is a private residence.	Yes No	Private Residence flag
Registered Location?	This indicates whether or not the individual's associated branch office location is registered.	Yes No	Registered Location flag
Registrations	The individual's registrations.		
Registrations Count	The total number of individual registrations and registration related details in the nested fields.	10	Total number of registrations example
Current Status Date	The current status date of the individual's registration with the associated firm.	2010-02-02	YYYY-MM-DD
Organization CRD#	The firm identifier number associated with the individual's registration.	305022	Firm CRD example
Active ?	This indicates whether or not the individual registration with the associated firm is active.	Yes No	Active Registration Status flag

Column Name	Column Definition	Column Value	Value Definition
Approved ?	This indicates whether or not the individual registration with the associated firm is approved.	Yes No	Approved Registration Status flag
Deficient ?	This indicates whether or not the individual registration with the associated firm is deficient.	Yes No	Deficient Registration Status flag
Registration Begin Date	The begin date of the individual registration with the associated firm.	2000-02-02	YYYY-MM-DD
Registration End Date	The end date of the individual registration with the associated firm.	2020-02-02	YYYY-MM-DD
Registration Category Code	The position code of the registered individual with the associated firm e.g. AG - Agent.	AF	Floor Broker – Options
		AO	Market Maker - Options
		SF	Single Stock Futures
		TD	Securities Trader
		OM	Options Member
		FL	Floor Clerk - Equities
		BP	Investment Banking Principal
		PO	Private Securities Offerings Principal
		CR	Compliance Officer
		SC	Front Line Specialist Clerk
		TA	Trading Assistant
		PR	Limited Representative -Prvt Scrts Ofrngs
		RA	Investment Advisor Representative Market
		MT	Maker Authorized Trader-Equities
		OT	Authorized Trader
		AC	Floor Clerk - Options
		IB	Investment Banking Representative
PT	Proprietary Trader		
TP	Securities Trader Principal		
CT	Securities Trader Compliance Officer		
OS	Operations Professional		
AG	Agent		
AM	Allied Member (NYSE)		
AP	Approved Person (NYSE)		
AR	Assistant Rep/Order Processing		

Column Name	Column Definition	Column Value	Value Definition
		BM	Branch Office Manager (NYSE)
		CD	Canada-Limited Gen Sec Reg Rep
		CF	Compliance Official Specialist
		CN	Canada-Limited Gen Sec Reg Rep
		CO	Compliance Official
		CP	Compliance Reg Options Principal
		CS	Corporate Securities Represent
		DP	Direct Participation Programs Principal
		DR	Direct Participation Programs
		DROP	D Registered Options Principal
		ET	Equity Trader
		EX	EX
		FA	Foreign Associate
		FC	Foreign Currency Options Representative
		FE	Floor Employee
		FI	Introducing BD/Finan Operation Principal
		FM	Municipal Sec. Fin. and Operations
		FN	Financial and Operations Principal
		GP	General Securities Principal
		GS	General Securities Representative
		IAR	Investment Adviser Representative
		IE	International - Limited Registration
		IP	Investment Co./ Variable Contracts Prin
		IR	Invest. Co and Variable Contracts
		JP	Japanese-Limited General Securities
		LE	Securities Lending Representative
		LR	Limited Representative
		LS	Securities Lending Supervisor

Column Name	Column Definition	Column Value	Value Definition
		ME	Member Exchange (NYSE)
		MJ	Manager Office Supervisory Jurisdiction
		MP	Municipal Securities Principal
		MR	Municipal Securities Representative
		OF	Officer
		OP	Registered Options Principal
		OR	Registered Options Representative
		PC	Floor Clerk Conducting Public Business
		PG	Government Securities Principal
		PM	Floor Member Conducting Public Business
		RG	Government Securities Representative
		SA	Supervisory Analyst (NYSE)
		SM	Securities Manager
		SP	Sole Proprietor
		SR	Senior Registered Options Principal
		ST	Securities Trader
		SU	General Securities Sales Supervisor
		TR	Securities Trader (NYSE)
		TS	Trading Supervisor (NYSE)
		UNKNCONV	UNKNCONV - Unknown - CRD Data Conversion
		FP	Municipal Fund
		IF	In-Firm Delivery Proctor
		RS	Research Analyst
		FB	Floor Broker
		MB	Market Maker acting as a Floor Broker
		MM	Market Maker Authorized Trader-Options
		RP	Research Principal

Column Name	Column Definition	Column Value	Value Definition
Registration Status Code	The registration status code of the individual with the associated firm.	ADMTERM APPRNT APPROVED APPROVED_R ES BAR CE2_YEAR_TR MD CE_INACTIVE DEFICIENT DENIED FTR INACTIVE_PRI NTS IN_PF MASS_TRNSF PENDING PURGED REJECTED REQUAL REQUEST_TER M REVOKED SUSPENSION TEMPREG TERMED T_NOREG T_NOREG_FTR T_NOREG_MT T_NOU5 ABANDONED TEMP_WD T_NOMT T_NOMTNORE G APRSLTS TRANS_RQST TRANS_TERM TRANS_ERRO R	Status Code
Registration Status Name	The registration status name of the individual with the associated firm.	Administrative termination Approved pending prints Approved Restricted approval Bar Termed ce two year inactive	Status Name

Column Name	Column Definition	Column Value	Value Definition
		Inactive - continuing education	
		Deficient	
		Denied	
		Terminated	
		Failure to renew	
		Inactive - prints in process filing	
		Termed mass transfer	
		Pending	
		Purged	
		Rejected	
		Requalification	
		Termination requested	
		Revoked	
		Suspended	
		Temporary registration	
		Termed	
		Termed without registration	
		Terminated no registration renewals	
		Terminated no registration mass transfer	
		Terminated without u5	
		Abandoned	
		Temporary withdrawal	
		Termed-did not mass transfer	
		Terminated no reg.-did not mass transfer	
		Approved	
		pending results	
		Transition requested	
		Transition terminated	
		Not transitioned - filed in error	

Column Name	Column Definition	Column Value	Value Definition
Registration Status Type Code	This indicates whether the individual's registration with the associated firm is active or inactive.	ACTIVE INACTIVE	Active Inactive
Regulator Code	The regulator code assigned to the individual's registration.	NqLX NYMEX NE CFE CFA CT USDOL PR NYSE-NAT OTC UNKNOWN ND WA MS ISE MRX NK TSE CBOE ONECH SD VT KCBT CO CIC MO CFTC USATTY ACC MT CBOE BYX FBI PCAOB CBOT NV BC FTC NYSE-CHI NJ LA NYSE VSE PA MIAX PEARL ON ISE SC NT	Regulator Code

Column Name	Column Definition	Column Value	Value Definition
		OH	
		DE	
		LSX	
		C MPLNT	
		BOX	
		OCC	
		CME	
		OR	
		SRR	
		MM	
		NCUA	
		DOJCR	
		KS	
		YT	
		FINCEN	
		NASAA	
		ISE GEMX	
		NH	
		NADF	
		VI	
		CBOE EDGX	
		QU	
		MB	
		NQX	
		MIAX	
		OPTIONS	
		TN	
		ChFC	
		ICE	
		GRN	
		MSRB	
		CBOE C2	
		MX	
		VA	
		FRB	
		IL	
		DTCC	
		MA	
		BX	
		COMEX	
		IA	
		MIAX	
		EMERALD	
		NM	
		SIC	
		KY	
		TOSE	
		CBOE BZX	
		OK	
		ID	

Column Name	Column Definition	Column Value	Value Definition
Regulator Name	The regulator name assigned to the individual's registration.	NFX ME AK AL Nasdaq LIFFE, LLC New York Mercantile Exchange Nebraska Cboe Futures Exchange LLC Chartered Financial Analyst Institute Connecticut U.S. Department of Labor Puerto Rico NYSE National, Inc. OTC Bulletin Board UNKNOWN North Dakota Washington Mississippi Nasdaq MRX, LLC New Brunswick Securities Toronto Stock Exchange Cboe Exchange, Inc. OneChicago, LLC South Dakota Vermont Kansas City Board of Trade Colorado The National Alliance for Insurance Education and Research Missouri	Regulator Name

Column Name	Column Definition	Column Value	Value Definition
		Commodity	
		Futures Trading	
		Commission	
		US Attorney's	
		Office, NY	
		AMEX	
		Commodities	
		Corp	
		Montana	
		Cboe BYX	
		Exchange, Inc.	
		FBI	
		Public Company	
		Accounting	
		Oversight Board	
		Chicago Board	
		of Trade	
		Nevada	
		British Columbia	
		Securities	
		Commission	
		US Federal	
		Trade	
		Commission	
		NYSE Chicago,	
		Inc.	
		New Jersey	
		Louisiana	
		New York Stock	
		Exchange	
		Canadian	
		Venture	
		Exchange	
		Pennsylvania	
		MIAX PEARL,	
		LLC	
		Ontario	
		Securities	
		Commission	
		Nasdaq ISE,	
		LLC	
		South Carolina	
		Northwest	
		Territories	
		Ohio	
		Delaware	
		London Stock	
		Exchange	
		Complinet Ltd	

Column Name	Column Definition	Column Value	Value Definition
		BOX Exchange LLC Options Clearing Corporation Chicago Mercantile Exchange Oregon State Regulatory Registry Mexico Securities Division National Credit Union Administration U.S. Department of Justice, Criminal Division Kansas Yukon Territory Department of Treasury NASAA Headquarters Nasdaq GEMX, LLC New Hampshire FINRA ALTERNATIVE DISPLAY FACILITY Virgin Islands Cboe EDGX Exchange, Inc. Quebec Commission des Valeurs Manitoba Securities Commission Nasdaq Stock Market Miami International Securities Exchange, LLC Tennessee	

Column Name	Column Definition	Column Value	Value Definition
		The American College of Financial Services ICE Futures US Inc Gryphon Networks Municipal Securities Rulemaking Board Cboe C2 Exchange, Inc. MONTREAL EXCHANGE Virginia FEDERAL RESERVE BOARD Illinois Depository Trust Clearing Corporation Massachusetts Nasdaq BX, Inc. Commodity Exchange Inc Iowa MIAX Emerald, LLC New Mexico Securities Information Center Kentucky TOKYO STOCK EXCHANGE Cboe BZX Exchange, Inc. Oklahoma Idaho NASDAQ Futures Exchange Maine Alaska Alabama	

Column Name	Column Definition	Column Value	Value Definition
<i>Deficiencies</i>	The individual's registration deficiencies.		
Deficiencies Count	The total number of individual registration deficiencies and the deficiency details in the nested fields.	10	Total number of deficiencies example
Organization CRD#	The firm identifier number of associated individual with registration deficiency.	1122	Firm CRD example
Regulator Code	The regulator code of associated individual with registration deficiency.	NYSE-NAT	Regulator Code example. See the full list above.
Regulator Name	The regulator name of associated individual with registration deficiency.	NYSE National, Inc.	Regulator Name example. See the full list above.
<i>Disclosures</i>	The disclosures associated with the individual.		
Disclosures Count	The total number of disclosures related per individual and related information in the nested fields.	10	Total number of disclosures example
Disclosure Type	This indicates the type of disclosure as defined on the filing per individual disclosure. This field is critical during Disclosure Review to help determine matches to existing occurrences.	Arbitration Bankruptcy Bond Civil Judicial Action Criminal Customer Complaint Internal Review Investigation Judgment/Lien Regulatory Action Termination	Type Name
Disclosable Flag	This indicates whether or not the occurrence is disclosable. The setting on this field is used in VOI to determine if and where (Current Disclosures or Reg Archive Disclosures) the occurrence should be displayed.	Yes No	Disclosable flag
Reportable Flag	This indicates whether or not the occurrence is reportable. The setting on this field is used in VOI to determine if and where (Current Disclosures or Reg Archive Disclosures) the occurrence should be displayed.	Yes No	Reportable flag
<i>Employments</i>	The individual's employments.		
Employments Count	The total number of the individual employments and the employment details in the nested fields.	10	Total number of employments example

Column Name	Column Definition	Column Value	Value Definition
Organization Primary Business Name	The firm primary business name associated with the individual's employment.	ABCD, INC.	Firm Primary Business Name example
Organization Applicant Name	The firm applicant name associated with the individual's employment.	ABCD, INC.	Firm Applicant Name example
Organization CRD#	The firm identifier number associated with the individual's employment.	305022	Firm CRD example
Organization FINRA District	The firm FINRA district office ID associated with individual's employments.	1AB	Firm FINRA District example
Organization SEC 801 #	The firm SEC number associated with the individual's employment.	12345	Firm SEC 801 # example
Organization SEC 802 #	The firm SEC number associated with the individual's employment.	67899	Firm SEC 802 # example
Organization SEC 8 #	The firm SEC number associated with the individual's employment.	888	Firm SEC 8 # example
Employment Start Date	The firm employment start date associated with the individual's employment.	2020-02-02	YYYY-MM-DD
Employment End Date	The firm employment end date associated with the individual's employment.	2020-08-02	YYYY-MM-DD
Employment Type Code	The firm employment type of the associated individual's employment. Full name of the employment here instead of code. See the code in the value description.	Investment adviser representative	IAR
		Non-registered fingerprint individual	NRF/BACKOFFICE
		Registered representative/principal	RR
		Registered representative/principal and investment adviser representative	BOTH
Firm Type Code	The firm registration type code associated with the individual's employment.	Owner/officer	PAGE2
		Other	OTHER
		BD Only IA Only	Broker Dealer firm Investment Advisor firm
Independent Contractor	This indicates whether or not the individual associated with the firm is an independent contractor.	JOINT	Both BD and IA firm
		Non Registered	Non registered firm
Independent Contractor	This indicates whether or not the individual associated with the firm is an independent contractor.	Yes No	Independent Contractor flag

Column Name	Column Definition	Column Value	Value Definition
Outside Business Indicator	This indicates whether or not the individual associated with the firm conducts business outside of the registered firm.	Yes No	Outside Business flag
Individual Billing Code	The billing code associated with the individual.	666	Individual Billing Code example
Firm Address	The location of the individual's employing firm.		
Firm Street Address 1	The street address line 1 registered for the individual's employing firm.	1111 Name Street	Street 1 example
Firm Street Address 2	The street address line 2 registered for the individual's employing firm.	Unit 111	Street 2 example
Firm City	The city name registered for the individual's employing firm.	Los Angeles	City example
Firm Country Code	The country code registered for the individual's employing firm.	USA	Country Code example
Firm Country Name	The country name registered for the individual's employing firm.	United States	Country Name example
Firm Postal Code	The postal code registered for the individual's employing firm.	22222	Postal Code example
Firm State Code	The state code registered for the individual's employing firm.	CA	State Code example
Firm State Name	The state name registered for the individual's employing firm.	California	State Name example
U5	The U5 filing for the individual's employment termination.		
Filing Date	The U5 filing date for the individual's employment termination.	2020-02-02	YYYY-MM-DD
Filing Type	The U5 filing type for the individual's employment termination.	FULL AMENDMENT CONVERSION ADMTERM	Full Amendment Conversion Administrative Termination
Termination Reason Code	The termination code explaining the reason for the individual's employment termination.	DECEASED DISCHARGE OTHER RESIGNED TATNONDCPL N UNKNCONV VOLUNTARY	Deceased Discharged Other Permitted to Resign TAT/Non-Disciplinary Unknown Conversion Voluntary

Column Name	Column Definition	Column Value	Value Definition
Reason for Termination	The text comment explaining termination reason for the individual's employment.	Failure to meet performance goals.	Explanation text
<i>Residential Locations</i>	The individual's residential address.		
Residential Locations Count	The total number of individual's residential addresses and the address details in the nested fields.	10	Total number of residential locations example
Residential Street Address 1	The residential street address line 1 registered for the individual.	1111 Name Street	Street 1 example
Residential Street Address 2	The residential street address line 2 registered for the individual.	Unit 111	Street 2 example
Residential City	The residential city name registered for the individual.	Los Angeles	City example
Residential Country Code	The residential country code registered for the individual.	USA	Country Code example
Residential Country Name	The residential country name registered for the individual.	United States	Country Name example
Residential Postal Code	The residential postal code registered for the individual.	22222	Postal Code example
Residential State Code	The residential state code registered for the individual.	CA	State Code example
Residential State Name	The residential state name registered for the individual.	California	State Name example
Address Start date	The begin date of the individual's residential address.	2000-02-02	YYYY-MM-DD
Address End Date	The end date of the individual's residential address.	2020-02-02	YYYY-MM-DD
<i>Completed Exams</i>	The exams completed by individuals.		
Completed Exams Count	The total number of exams the individual has completed and the exam details in the nested fields.	10	Total number of exams example
Exam	The exam code of the completed exam by the individual.	101 201 F04 FOR G1 G12 G16 G2 G24	Exam code

Column Name	Column Definition	Column Value	Value Definition
		G27	
		G4	
		G52	
		G53	
		G54	
		G6	
		G7	
		G72	
		GAK	
		GAL	
		GAR	
		GAZ	
		GCA	
		GCO	
		GDC	
		GDE	
		GGA	
		GIA	
		GID	
		GIL	
		GIN	
		GKS	
		GKY	
		GLA	
		GMA	
		GMD	
		GMI	
		GMN	
		GMO	
		GMS	
		GMT	
		GNC	
		GND	
		GNE	
		GNH	
		GNM	
		GNV	
		GNY	
		GOK	
		GOR	
		GPA	
		GRI	
		GSC	
		GTN	
		GTX	
		GUT	
		GVA	
		GWA	
		GWI	
		GWV	

Column Name	Column Definition	Column Value	Value Definition
		GWY NASD PC S00 S000 S1 S10 S101 S106 S11 S12 S14 S14A S15 S16 S17 S18 S2 S20 S201 S22 S24 S26 S27 S28 S3 S30 S31 S32 S33 S37 S38 S39 S4 S40 S41 S42 S47 S5 S52 S53	
Exam Name	The name of the exam completed by the individual.	General CE Supervisor CE Financial principal examination FOR G1 G12 G16	Exam Name

Column Name	Column Definition	Column Value	Value Definition
		G2	
		G24	
		G27	
		G4	
		G52	
		G53	
		G54	
		G6	
		G7	
		G72	
		GAK	
		GAL	
		GAR	
		GAZ	
		GCA	
		GCO	
		GDC	
		GDE	
		GGA	
		GIA	
		GID	
		GIL	
		GIN	
		GKS	
		GKY	
		GLA	
		GMA	
		GMD	
		GMI	
		GMN	
		GMO	
		GMS	
		GMT	
		GNC	
		GND	
		GNE	
		GNH	
		GNM	
		GNV	
		GNY	
		GOK	
		GOR	
		GPA	
		GRI	
		GSC	
		GTN	
		GTX	
		GUT	
		GVA	
		GWA	

Column Name	Column Definition	Column Value	Value Definition
		GWI GWV GWY NASD AMEX put and call exam General securities principal examination Registered representative examination General securities sales supervisor - general module examination S101 S106 Assistant representative- order processing qualification exam NYSE branch manager examination Compliance officer examination Compliance official specialist exam Foreign currency options examination NYSE supervisory analyst examination Limited registered representative examination Securities industry rules and regulations examination Non-member	

Column Name	Column Definition	Column Value	Value Definition
		general securities examination S20 S201 Direct participation programs representative examination General securities principal examination Investment company products/variable contracts principal examination Financial and operations principal examination Introducing broker/dealer financial operations principal examination National commodity futures examination NFA branch manager examination Futures managed funds examination Limited futures exam-regulation Financial instruments examination Canada module of the general securities registered representative (with options	

Column Name	Column Definition	Column Value	Value Definition
Exam Date	The date the exam was last completed by the individual.	2020-02-02	YYYY-MM-DD
Status Code	The status code of the exam completed by the individual.	DEVELOPED_ NEED EXAM_PRVLY _TAKEN EXPIRED IN_PROCESS_F ILING OFFICIAL_RES ULT	Exam status code

Column Name	Column Definition	Column Value	Value Definition
		OFFICIAL_WA IVR REQUESTED SCHEDULED WITHDRAW FUNDS_DEFIC IENT CREDIT	
Status Name	The status name of the exam completed by the individual.	Developed a need Exams previously taken Window expired In process filing Official result Official waiver Request Scheduled Withdraw Funds deficient Credit	Exam status name
Status Date	The status date of the exam completed by the individual.	2020-04-04	YYYY-MM-DD
Grade	The code for exam grade for the exam completed by the individual.	INCMP FAILED CMPLT PASSED NO_SHOW LATE_CANCE L	Incomplete Failed Complete Passed No Show Late Cancel
Score	The score of the exam completed by the individual in points. The score will display if the individual has failed the exam or exam grade = failed.	69	Exam score example
Exam Validity Flag	This indicates the exam validity for the exam completed by the individual. Is the exam completed by the individual still valid?	Yes No	Exam Validity Flag
Exam Validity	This indicates the exam validity name for the exam completed by the individual. 'Valid' if the exam validity flag = Y, Expired if the exam validity flag = N and Not Applicable if the exam validity flag = NULL.	VALID EXPIRED N/A	Valid Expired Not Applicable
Exam Valid Until	The exam validity date for the exam completed by the individual. The date will only display when the valid exam will expire in less than 2 years.	2022-02-02	YYYY-MM-DD
Waived By Regulator Code	The name of the waiver regulator associated with the exam individual is required to complete if the exam was waived by the regulator.	Virginia	Regulator name example. See the full list above.

Column Name	Column Definition	Column Value	Value Definition
Window Begin Date	The begin date of exam window. The individual is required to complete the exam starting from this date.	2020-02-02	YYYY-MM-DD
Window End Date	The end date of exam window. The individual is required to complete the exam by this date.	2020-08-02	YYYY-MM-DD
Professional Designations	The individual's professional designations. Professional designations only apply to individuals who are investment advisor representatives.		
Professional Designations Count	The total number of individual's professional designations and the professional details in the nested fields.	10	Total number of professional designations example
Designating Authority	The name of the organization that grants the professional designation to the individual e.g. CFP awarded by Certified Financial Planner Board of Standards.	Certified financial planner board of standards The american college Investment counsel association of america Cfa institute American institute of certified public accountants	Designating authority name
Designation Type Code	The individual's professional designation type code.	CFP ChFC PFS CFA CIC	Type code
Designation Type Name	The individual's professional designation type name.	Certified financial planner Chartered financial consultant Personal financial specialist Chartered financial analyst Chartered investment counselor	Type name
Latest Filing	The most recent filing of the individual's professional designation.		
Current Employer	The advisory business name associated with the individual's professional designation.	ABCD, INC.	Firm name example

Column Name	Column Definition	Column Value	Value Definition
Filing Date	The date of the most recent U4 filing that listed the designation of the individual.	2020-08-02	YYYY-MM-DD
Form Filing Type	The form U4 filing type that lists the designation of the individual.	AMENDMENT RELICENSE INITIAL DUAL P2BDINITIAL CONVERSION P2BDAMEND RELICENSEBD RELICENSEIA	U4 amendment U4 relicense U4 initial U4 dual U4 page 2 BD initial U4 conversion U4 page 2 BD amendment U4 relicense BD U4 relicense IA
Organization CRD#	The CRD# of the firm that filed the most recent U4 filing that listed the designation of the individual.	305022	Firm CRD example
First Filing	The first filing of the individual's professional designation.		
Current Employer	The advisory business name associated with the individual's professional designation.	ABCD, INC.	Firm name example
Filing Date	The date of the first U4 filing that listed the designation of the individual.	2020-02-02	YYYY-MM-DD
Form Filing Type	The form U4 filing type that lists the designation of the individual.	AMENDMENT RELICENSE INITIAL DUAL P2BDINITIAL CONVERSION P2BDAMEND RELICENSEBD RELICENSEIA	U4 amendment U4 relicense U4 initial U4 dual U4 page 2 BD initial U4 conversion U4 page 2 BD amendment U4 relicense BD U4 relicense IA
Organization CRD#	The CRD# of the firm that filed the first U4 filing that listed the designation of the individual.	305022	Firm CRD example
Statutory Disqualification Code	The individual's statutory disqualification status/type.	Clear Yes Yes - Approval/Denial Pending Yes - Limited Suspension Yes - SOX Yes - SOX Approval/Denial Pending Yes - Willful Yes - Willful Approval/Denial	SD Status/Type

Column Name	Column Definition	Column Value	Value Definition
		Pending	
		Requires Review	
		Timed	
		Suspension/Bar	
		Yes -	
		Approval/Denial	
		Pending Tier 1	
		Yes -	
		Approval/Denial	
		Pending Tier 2	
		Yes -	
		Approval/Denial	
		Pending Tier 3	
		Yes - Approved -	
		Tier 1	
		Yes - Approved -	
		Tier 2	
		Yes - Approved -	
		Tier 3	
		Yes - Limited -	
		Tier 1	
		Yes - Limited -	
		Tier 3	
		Yes - SOX - Tier	
		1	
		Yes - SOX - Tier	
		3	
		Yes - SOX	
		Approval/Denial	
		Pending - Tier 1	
		Yes - SOX	
		Approval/Denial	
		Pending - Tier 3	
		Yes - SOX	
		Approved - Tier	
		1	
		Yes - SOX	
		Approved - Tier	
		3	
		Yes - Tier 1	
		Yes - Tier 2	
		Yes - Tier 3	
		Yes - Willful -	
		Tier 1	
		Yes - Willful -	
		Tier 3	
		Yes - Willful	
		Approval/Denial	
		Pending - Tier 1	
		Yes - Willful	

Column Name	Column Definition	Column Value	Value Definition
		Approval/Denial Pending - Tier 3 Yes - Willful Approved - Tier 1 Yes - Willful Approved - Tier 3	
Is Finpro User?	This indicates whether the individual is a Finpro user or not. Coming soon...		
Date Finpro Account Created	The date Finpro Account was created for the individual. Coming soon...		
Date Last Accessed Finpro	The date Finpro Account was last accessed by the individual. Coming soon...		

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.