

Web CRD & IARD Release 2009.2 Individual Forms – DRP Mapping Guide

With Web CRD & IARD Release 2009.2, DRPs on the Individual forms were modified. The purpose of this document is to provide a summary of the fields that will be mapped from the old DRP version to the new 2009 DRP version. Fields from previously submitted DRPs will be mapped and populated by the system when the existing DRP is edited in the 05/2009 DRP version as part of a form filing.

The table below displays all of the 2005 DRP fields along with the corresponding 2009 DRP field, if applicable. Note, data was only mapped from previous versions if the format of the data was exactly the same (e.g. data in text boxes was mapped to text boxes. However, data that was previously submitted in a text box was not mapped to discrete fields (i.e. such as radio buttons and drop down lists) in the 2009 version.

Form U4 DRPs

Bankruptcy/SIPC/Compromise with Creditors: Mappable Fields

2005 DRP Version - Field	Field Maps Exactly?	Maps to New Field #	2009 DRP version - New Field
1. Action Type	Y	1	1. Action Type
2. Action Date ☐ Exact ☐ Explanation If not exact, provide explanation	Y	2	2. Action Date ☐ Exact ☐ Explanation If not exact, provide explanation
3. If the financial action relates to an organization over which you exercise(d) <i>control</i> , enter organization name and your position, title, or relationship:	N		
Was the organization <i>investment-related</i> ?	Y	3.C.	C. Was the organization <i>investment related</i> ?
4. Court action brought in: (include Name of Federal, State or Foreign Court, Location of Court, Docket/Case Number, Bankruptcy Chapter Number)	N		
5. Is action currently pending?	Y	5	5. Is action currently pending?
6. If not pending, provide Disposition Type:	Y	6	6. If not pending, provide Disposition Type:

2005 DRP Version - Field	Field Maps Exactly?	Maps to New Field #	2009 DRP version - New Field
7. Disposition Date (MM/DD/YYYY) ○ Exact ○ Explanation If not exact, provide explanation	Y	7	7. Disposition Date (MM/DD/YYYY) ○ Exact ○ Explanation If not exact, provide explanation
8. Provide a brief summary of events leading to the action and if not discharged, explain.	N		
9. If a SIPA trustee was appointed or a direct payment procedure was begun, enter the amount paid or agreed to be paid by you; or the name of the trustee	N		
Currently Open? ○ Yes ○ No	Y	9.B.	B. Currently Open? ○ Yes ○ No
Date Direct Payment Initiated/Filed or Trustee Appointed (MM/DD/YYYY). ○ Exact ○ Explanation If not exact, provide explanation	Y	9.C.	C. Date Direct Payment Initiated/Filed or Trustee Appointed (MM/DD/YYYY). ○ Exact ○ Explanation If not exact, provide explanation
10. Comment (Optional)	Y	10	10. Comment (Optional)

Bond: Mappable Fields

2005 DRP Version - Field	Field Maps Exactly?	Maps to New Field #	2009 DRP version - New Field
1. Firm Name	Y	1	1. Firm Name
2. Bonding Company Name	Y	2	2. Bonding Company Name
3. Disposition Type	Y	3	3. Disposition Type
4. Disposition Date (MM/DD/YYYY). ○ Exact ○ Explanation If not exact, provide explanation	Y	4	4. Disposition Date (MM/DD/YYYY). ○ Exact ○ Explanation If not exact, provide explanation
5. If disposition resulted in Payout list: Payout Amount and Date Paid.	N		
6. Comment (Optional)	Y	6	6. Comment (Optional)

Civil Judicial: Mappable Fields

2005 DRP Version - Field	Field Maps Exactly?	Maps to New Field #	2009 DRP version - New Field
1. Court Action initiated by:			
Name of regulator, foreign financial regulatory authority, SRO, commodities exchange, Agency, Firm, Private Plaintiff, etc.	Y	1.B.	1.B. Name of party initiating the actions
2. Principal Relief Sought	Y	2	2. Relief Sought
Other Relief Sought	N		
3. Filing Date of Court Action (MM/DD/YYYY) ○ Exact ○ Explanation If not exact, provide explanation	Y	3.A	3.A. Filing Date of Court Action (MM/DD/YYYY) ○ Exact ○ Explanation If not exact, provide explanation
4. Principal Product Type	Y	4	4. Principal Product Type
Other Product Types	N		
5. Formal action was brought in: (include Name of Federal, Military, State or Foreign Court, Location of Court, Docket/Case Number)	N		
6. Employing Firm when activity occurred which led to the civil judicial action	Y	6	6. Employing Firm when activity occurred which led to the civil judicial action
7. Describe the allegations related to this civil action	Y	7	7. Describe the allegations related to this civil action
8. Current Status ○ Pending; ○ On Appeal; ○ Final	Y	8	8. Current Status ○ Pending; ○ On Appeal; ○ Final
9. If on appeal, action appealed to:			
Name of court	N		
Date Appeal Filed	N		
10. If pending, date notice process was served ○ Exact ○ Explanation If not exact, provide explanation	Y	3.B.	3.B. Date notice/process was served ○ Exact ○ Explanation If not exact, provide explanation
11. How matter was resolved	Y	11.A	11.A. How matter was resolved

2005 DRP Version - Field	Field Maps Exactly?	Maps to New Field #	2009 DRP version - New Field
12. Resolution Date ○ Exact ○ Explanation If not exact, provide explanation	Y	11.B.	11.B. Resolution Date ○ Exact ○ Explanation If not exact, provide explanation
13. Resolution Detail			
A. Were any of the following Sanctions Ordered or Relief Granted?	N		
Amount:	N		
B. Other Sanctions	Y	12.B.	12.B. Other Sanctions
C. Sanction Detail	N		
14. Comment (Optional)	Y	13	Comment (Optional)

Criminal: Mappable Fields

2005 DRP Version - Field	Field Maps Exactly?	Maps to New Field #	2009 DRP version - New Field
1. If charge(s) were brought against an organization over which you exercise(d) control: Enter Organization Name, whether or not the organization was an investment-related business and your position, title or relationship.	N		
2. Formal Charge(s) were brought in: (include name of Federal, Military, State or Foreign Court, Location of Court, Docket/Case number)	N		
3. Event Disclosure Detail			
A. Date First Charged ○ Exact ○ Explanation If not exact, provide explanation	Y	4.A.	4.A. Date First Charged ○ Exact ○ Explanation If not exact, provide explanation
B. Event Disclosure Detail	N		
C. Did any of the Charge(s) within the Event involve a Felony? ○ Yes ○ No	N		

2005 DRP Version - Field	Field Maps Exactly?	Maps to New Field #	2009 DRP version - New Field
D. Current status of the Event? ○ Pending; ○ On Appeal; ○ Final	Y	3.A.	3.A. Current status of the Event? ○ Pending; ○ On Appeal; ○ Final
E. Event Status Date ○ Exact ○ Explanation If not exact, provide explanation	Y	3.B.	3.B. Event Status Date ○ Exact ○ Explanation If not exact, provide explanation
4. Disposition Disclosure Detail	N		
5. Comment (Optional)	Y	5	5. Comment (Optional)

Customer Complaint/Arbitration/Civil Litigation: Mappable Fields

2005 DRP Version - Field	Field Maps Exactly?	Maps to New Field #	2009 DRP version - New Field
1. Customer Names	Y	1	1. Customer Names
2.A. Customer(s) State of Residence	Y	2.A.	2.A. Customer(s) State of Residence
2.B. Other state(s) of residence/detail	Y	2.B.	2.B. Other state(s) of residence/detail
3. Employing firm when activities occurred which led to the complaint	Y	3	3. Employing firm when activities occurred which led to the customer complaint, arbitration, CFTC reparation or civil litigation
4. Allegation(s) and a brief summary of events related to the allegation(s) including dates when activities leading to the allegation(s) occurred	Y	4	4. Allegation(s) and a brief summary of events related to the allegation(s) including dates when activities leading to the allegation(s) occurred
5. Principal Product Type	Y	5	Product Type
Other Product Types	N		
6. Alleged Compensatory Damage Amount	Y	6	6. Alleged Compensatory Damage Amount: ○ Exact ○ Explanation If not exact, provide explanation
7. Date Customer Complaint was received: ○ Exact ○ Explanation If not exact, provide explanation	Y	7.D	7.D Date received by/served on firm: ○ Exact ○ Explanation If not exact, provide explanation

2005 DRP Version - Field	Field Maps Exactly?	Maps to New Field #	2009 DRP version - New Field
8. Is the customer complaint pending? ○ Yes ○ No	Y	8	8. Is the complaint/arbitration/CFTC reparation or civil litigation pending? ○ Yes ○ No
9. If the customer complaint is not pending, provide status	Y	9.	9. If the complaint, arbitration/CFTC reparation or civil litigation is not pending, provide status
10. Status Date: ○ Exact ○ Explanation If not exact, provide explanation	Y	10	10. Status Date: ○ Exact ○ Explanation If not exact, provide explanation
11. Settlement Amount	Y	11.A.	11.A. Settlement/Award/Monetary Judgment
12. Individual Contribution Amount	Y	11.B.	11.B. Individual Contribution Amount
13. Arbitration/Reparation claim filed with (FINRA, AAA, NYSE, CBOE, CFTC, etc.) and Docket/Case Number	N		
14. Date notice/process was served ○ Exact ○ Explanation If not exact, provide explanation	Y	12.C.	12.C. Date notice/process was served ○ Exact ○ Explanation If not exact, provide explanation
15. Is the arbitration/reparation pending? ○ Yes ○ No	Y	13	13. Is the arbitration/reparation pending? ○ Yes ○ No
16. If the arbitration is not pending, what was the disposition?	Y	14	14. If the arbitration is not pending, what was the disposition?
17. Disposition Date ○ Exact ○ Explanation If not exact, provide explanation	Y	15	15. Disposition Date ○ Exact ○ Explanation If not exact, provide explanation
18. Amount of Monetary Compensation	Y	16.A.	16. Monetary Compensation Details: A. Total Amount
19. Individual Contribution Amount	Y	16.B.	16. Monetary Compensation Details: B. Your Contribution Amount
20. Court case was filed in: (include name of Federal, Military, State or Foreign Court, Location of Court, Docket/Case number)	N		
21. Date notice/process was served ○ Exact ○ Explanation If not exact, provide explanation	Y	18	18. Date notice/process was served ○ Exact ○ Explanation If not exact, provide explanation

2005 DRP Version - Field	Field Maps Exactly?	Maps to New Field #	2009 DRP version - New Field
22. Is the civil litigation pending? ○ Yes ○ No	Y	19	19. Is the civil litigation pending? ○ Yes ○ No
23. If the civil litigation is not pending, what was the disposition?	Y	20	20. If the civil litigation is not pending, what was the disposition?
24. Disposition Date ○ Exact ○ Explanation If not exact, provide explanation	Y	21	21. Disposition Date ○ Exact ○ Explanation If not exact, provide explanation
25. Amount of Monetary Compensation	Y	22.A.	22. Monetary Compensation Details: A. Total Amount
26. Individual Contribution Amount	Y	22.B.	22. Monetary Compensation Details: B. Your Contribution Amount
27. If the action is currently on appeal enter date appeal filed ○ Exact ○ Explanation If not exact, provide explanation	Y	23.A.	23. If action is currently on appeal: A. Enter date appeal filed ○ Exact ○ Explanation If not exact, provide explanation
28. Comment (Optional)	Y	24	24. Comment (Optional)

Investigation: Mappable Fields

2005 DRP Version - Field	Field Maps Exactly?	Maps to New Field #	2009 DRP version - New Field
1. Notice Received From	Y	1.B.	1.B. Full name of regulator (other than SEC) that initiated the investigation
2. Notice Date ○ Exact ○ Explanation If not exact, provide explanation	Y	2	2. Notice Date ○ Exact ○ Explanation If not exact, provide explanation
3. Describe briefly the nature of this investigation, if known, or details of the resolution	Y	3	3. Describe briefly the nature of this investigation, if known.
4. Date Resolved ○ Exact ○ Explanation If not exact, provide explanation	Y	5.A.	5. Resolution Details: A. Date Closed/Resolved

Judgment Lien: Mappable Fields

2005 DRP Version - Field	Field Maps Exactly?	Maps to New Field #	2009 DRP version - New Field
1. Judgment/Lien Amount	Y	1	1. Judgment/Lien Amount
2. Judgment/Lien Holder	Y	2	2. Judgment/Lien Holder
3. Judgment/Lien Type	Y	3	3. Judgment/Lien Type
4. Date Filed ☐ Exact ☐ Explanation If not exact, provide explanation	Y	4	4. Date Filed ☐ Exact ☐ Explanation If not exact, provide explanation
5. Is Judgment/Lien outstanding? ☐ Yes ☐ No	Y	6	6. Is Judgment/Lien outstanding? ☐ Yes ☐ No
6. Court (Name of Federal, Military, State or Foreign Court), Location of Court, and Docket/Case Number	N		
7. Comment (Optional)	Y	8	8. Comment (Optional)

Regulatory Action: Mappable Fields

2005 DRP Version - Field	Field Maps Exactly?	Maps to New Field #	2009 DRP version - New Field
1. Regulatory Action Initiated by: (Radio button options): ☐ SEC ☐ Other Federal ☐ State ☐ SRO ☐ Foreign ☐ Federal Banking Agency ☐ National Credit Union Administration ☐ Other Full name of regulator:	Y	1A & 1B	1. Regulatory Action Initiated by: A. (Radio button options): ☐ SEC ☐ Other Federal Agency ☐ Jurisdiction ☐ SRO ☐ Foreign Financial Regulatory Authority ☐ Commodities Exchange ☐ Federal Banking Agency ☐ National Credit Union Administration ☐ Other B. Full name of regulator (if other than the SEC)
2. Principal Sanction	Y	2	2. Sanction(s) Sought
Other Sanctions:	N		

2005 DRP Version - Field	Field Maps Exactly?	Maps to New Field #	2009 DRP version - New Field
3. Filing Date of Court Action ○ Exact ○ Explanation If not exact, provide explanation	Y	3	3. Date Initiated ○ Exact ○ Explanation If not exact, provide explanation
4. Docket/Case Number	Y	4	4. Docket/Case #
5. Employing Firm when activity occurred which led to the regulatory action	Y	5	5. Employing Firm when activity occurred which led to the regulatory action
6. Principal Product Type	Y	6	6. Product Type(s)
7. Describe the allegations related to this regulatory action	Y	7	7. Describe the allegations related to this regulatory action
8. Current Status? ○ Pending; ○ On Appeal; ○ Final	Y	8	8. Current Status? ○ Pending; ○ On Appeal; ○ Final
9. If on appeal, action appealed to (provide name of court:	N		
10. How was the matter resolved?	Y	11.A.	11. Resolution Detail A. How was the matter resolved?
11. Resolution Date	Y	11.B.	11. Resolution Detail B. Resolution Date
12. Resolution Detail	Y	13	13. Sanction Detail
A. Were any of the following sanctions ordered?	Y	13.A.	A. Were any of the following sanctions ordered or relief granted?
B. Other sanctions ordered	Y	13.B.	B. Other sanctions ordered
C. Sanction Detail	N		
13. Comment (Optional)	Y	14	14. Comment (Optional)

Termination: Mappable Fields

2005 DRP Version - Field	Field Maps Exactly?	Maps to New Field #	2009 DRP version - New Field
1. Firm Name	Y	1	1. Firm Name
2. Termination Type	Y	2	2. Termination Type
3. Termination Date ○ Exact ○ Explanation If not exact, provide explanation	Y	3	3. Termination Date ○ Exact ○ Explanation If not exact, provide explanation
4. Allegation(s)	Y	4	4. Allegation(s)
5. Principal Product Type	Y	5	5. Principal Product Type
Other Product Types	N		
6. Comment (Optional)	Y	6	6. Comment (Optional)

Form U5 DRPs

Criminal: Mappable Fields

2005 DRP Version - Field	Field Maps Exactly?	Maps to New Field #	2009 DRP version - New Field
1. Formal Charge(s) were brought in: (include name of Federal, Military, State or Foreign Court, Location of Court, Docket/Case #)	N		
2.A. Date First Charged ○ Exact ○ Explanation If not exact, provide explanation	Y	3.A.	3.A. Date First Charged ○ Exact ○ Explanation If not exact, provide explanation
2.B. Event Disclosure Detail	N		
2.C. Did any of the Charge(s) within the Event involve a Felony? ○ Yes ○ No	N		
2.D. Current status of the Event? ○ Pending; ○ On Appeal; ○ Final	Y	2.A.	2.A. Current status of the Event? ○ Pending; ○ On Appeal; ○ Final
2.E. Event Status Date ○ Exact ○ Explanation If not exact, provide explanation	Y	2.B.	2.B. Event Status Date ○ Exact ○ Explanation If not exact, provide explanation
3. Disposition Disclosure Detail	N		
4. Comment (Optional)	Y	4	4. Comment (Optional)

Internal Review: Mappable Fields

2005 DRP Version - Field	Field Maps Exactly?	Maps to New Field #	2009 DRP version - New Field
1. Notice Received From: (Name of firm initiating the internal review):	Y	1	1. Notice Received From: (Name of firm initiating the internal review):
2. Date internal review initiated: ☐ Exact ☐ Explanation If not exact, provide explanation	Y	2	2. Date internal review initiated (MM/DD/YYYY): ☐ Exact ☐ Explanation If not exact, provide explanation
3. Describe briefly the nature of the internal review or details of the conclusion.	Y	3	3. Describe briefly the nature of the internal review or details of the conclusion.
4. Date internal review concluded: ☐ Exact ☐ Explanation If not exact, provide explanation	Y	5.A.	5.A. Date internal review concluded: ☐ Exact ☐ Explanation If not exact, provide explanation
Part II: Summary	Y	N/A	Part II: Summary

Investigation: Mappable Fields

2005 DRP Version - Field	Field Maps Exactly?	Maps to New Field #	2009 DRP version - New Field
1. Notice Received From	Y	1.B.	1.B. Full name of regulator (other than SEC) that initiated the investigation
2. Notice Date ☐ Exact ☐ Explanation If not exact, provide explanation	Y	2	2. Notice Date ☐ Exact ☐ Explanation If not exact, provide explanation
3. Describe briefly the nature of this investigation, if known, or details of the resolution	Y	3	3. Describe briefly the nature of this investigation, if known.
4. Date Resolved ☐ Exact ☐ Explanation If not exact, provide explanation	Y	5.A.	5. Resolution Details: A. Date Closed/Resolved

Regulatory Action: Mappable Fields

2005 DRP Version - Field	Field Maps Exactly?	Maps to New Field #	2009 DRP version - New Field
1. Regulatory Action Initiated by: (Radio button options): ☐ SEC ☐ Other Federal ☐ State ☐ SRO ☐ Foreign ☐ Federal Banking Agency ☐ National Credit Union Administration ☐ Other Full name of regulator:	Y	1A & 1B	1. Regulatory Action Initiated by: A. (Radio button options): ☐ SEC ☐ Other Federal Agency ☐ Jurisdiction ☐ SRO ☐ Foreign Financial Regulatory Authority ☐ Commodities Exchange ☐ Federal Banking Agency ☐ National Credit Union Administration ☐ Other B. Full name of regulator
2. Principal Sanction	Y	2	2. Sanction(s) Sought
Other Sanctions:	N		
3. Date Initiated ☐ Exact ☐ Explanation If not exact, provide explanation	Y	3	3. Date Initiated ☐ Exact ☐ Explanation If not exact, provide explanation
4. Docket/Case #	Y	4	4. Docket/Case #
5. Employing Firm when activity occurred which led to the regulatory action	Y	5	5. Employing Firm when activity occurred which led to the regulatory action
6. Principal Product Type	Y	6	6. Product Type(s)
7. Describe the allegations related to this regulatory action	Y	7	7. Describe the allegations related to this regulatory action
8. Current Status? ☐ Pending; ☐ On Appeal; ☐ Final	Y	8	8. Current Status? ☐ Pending; ☐ On Appeal; ☐ Final
9. If on appeal, action appealed to (provide name of court:	N		
10. How was the matter resolved?	Y	11.A.	11. Resolution Detail A. How was the matter resolved?
11. Resolution Date	Y	11.B.	11. Resolution Detail B. Resolution Date
12. Resolution Detail	Y	12	12. Sanction Detail

2005 DRP Version - Field	Field Maps Exactly?	Maps to New Field #	2009 DRP version - New Field
A. Were any of the following sanctions ordered?	Y	12.A.	A. Were any of the following sanctions ordered or relief granted?
B. Other sanctions ordered	Y	12.B.	B. Other sanctions ordered
C. Sanction Detail	N		
13. Comment (Optional)	Y	13	13. Comment (Optional)

Termination: Mappable Fields

2005 DRP Version - Field	Field Maps Exactly?	Maps to New Field #	2009 DRP version - New Field
1. Firm Name	Y	1	1. Firm Name
2. Termination Type	Y	2	2. Termination Type
3. Termination Date ☐ Exact ☐ Explanation If not exact, provide explanation	Y	3	3. Termination Date ☐ Exact ☐ Explanation If not exact, provide explanation
4. Allegation(s)	Y	4	4. Allegation(s)
5. Principal Product Type	Y	5	5. Principal Product Type
Other Product Types	N		
6. Comment (Optional)	Y	6	6. Comment (Optional)

Form U6 DRPs

Bankruptcy: Mappable Fields

2003 DRP Version - Field	Field Maps Exactly?	Maps to New Field #	2009 DRP version - New Field
1. Action Type	Y	1	1. Action Type
2. Action Date ○ Exact ○ Explanation If not exact, provide explanation	Y	2	2. Action Date ○ Exact ○ Explanation If not exact, provide explanation
3. If the financial action relates to an organization over which subject exercise(d) <i>control</i> , enter organization name and subject's position, title, or relationship:	N		
Was the organization <i>investment-related</i> ?	Y	3.C.	C. Was the organization <i>investment related</i> ?
4. Court (Name of Federal, State or Foreign Court), Location of Court, Docket/Case #, Bankruptcy Chapter Number	N		
5. Is action currently pending?	Y	5	5. Is action currently pending?
6. If not pending, provide Disposition Type:	Y	6	6. If not pending, provide Disposition Type:
7. Disposition Date (MM/DD/YYYY) ○ Exact ○ Explanation If not exact, provide explanation	Y	7	7. Disposition Date (MM/DD/YYYY) ○ Exact ○ Explanation If not exact, provide explanation
8. Provide a brief summary of events leading to the action and if not discharged, explain.	N		
9. If a SIPA trustee was appointed or a direct payment procedure was begun, enter the amount paid or agreed to be paid by the subject; or the name of the trustee	N		
Currently Open? ○ Yes ○ No	Y	9.B.	B. Currently Open? ○ Yes ○ No

2003 DRP Version - Field	Field Maps Exactly?	Maps to New Field #	2009 DRP version - New Field
Date Direct Payment Initiated/Filed or Trustee Appointed (MM/DD/YYYY). ○ Exact ○ Explanation If not exact, provide explanation	Y	9.C.	C. Date Direct Payment Initiated/Filed or Trustee Appointed (MM/DD/YYYY). ○ Exact ○ Explanation If not exact, provide explanation
10. Comment (Optional)	Y	10	10. Comment (Optional)

Civil Judicial: Mappable Fields

2003 DRP Version - Field	Field Maps Exactly?	Maps to New Field #	2009 DRP version - New Field
1. Court Action initiated by:			
Name of regulator, foreign financial regulatory authority, SRO, commodities exchange, Agency, Firm, Private Plaintiff, etc.	Y	1.B.	1.B. Name of party initiating the actions
2. Principal Relief Sought	Y	2	2. Relief Sought
Other Relief Sought	N		
3. Filing Date of Court Action (MM/DD/YYYY) ○ Exact ○ Explanation If not exact, provide explanation	Y	3.A	3.A. Filing Date of Court Action (MM/DD/YYYY) ○ Exact ○ Explanation If not exact, provide explanation
4. Principal Product Type	Y	4	4. Principal Product Type
Other Product Types	N		
5. Formal action was brought in: (include Name of Federal, Military, State or Foreign Court, Location of Court, Docket/Case #)	N		
6. Employing Firm when activity occurred which led to the civil judicial action	Y	6	6. Employing Firm when activity occurred which led to the civil judicial action
7. Describe the allegations related to this civil action	Y	7	7. Describe the allegations related to this civil action

2003 DRP Version - Field	Field Maps Exactly?	Maps to New Field #	2009 DRP version - New Field
8. Current Status ☐ Pending; ☐ On Appeal; ☐ Final	Y	8	8. Current Status ☐ Pending; ☐ On Appeal; ☐ Final
9. If on appeal, action appealed to:			
Name of court	N		
Date Appeal Filed	N		
10. Date notice process was served ☐ Exact ☐ Explanation If not exact, provide explanation	Y	3.B.	3.B. Date notice/process was served ☐ Exact ☐ Explanation If not exact, provide explanation
11. How matter was resolved	Y	11.A	11.A. How matter was resolved
12. Resolution Date ☐ Exact ☐ Explanation If not exact, provide explanation	Y	11.B.	11.B. Resolution Date ☐ Exact ☐ Explanation If not exact, provide explanation
13. Resolution Detail			
A. Were any of the following Sanctions Ordered or Relief Granted?	N		
B. Other Sanctions	Y	12.B.	12.B. Other Sanctions
C. Sanction Detail	N		
14. Comment (Optional)	Y	13	Comment (Optional)

Criminal: Mappable Fields

2003 DRP Version - Field	Field Maps Exactly?	Maps to New Field #	2009 DRP version - New Field
1. If charge(s) were brought against an organization over which you exercise(d) control: Enter Organization Name, whether or not the organization was an investment-related business and your position, title or relationship.	N		
2. Formal Charge(s) were brought in: (include name of Federal, Military, State or Foreign Court, Location of Court, Docket/Case #)	N		
3. Event Disclosure Detail			
A. Date First Charged ☐ Exact ☐ Explanation If not exact, provide explanation	Y	4.A.	4.A. Date First Charged ☐ Exact ☐ Explanation If not exact, provide explanation
B. Event Disclosure Detail	N		
C. Did any of the Charge(s) within the Event involve a Felony? ☐ Yes ☐ No	N		
D. Current status of the Event? ☐ Pending; ☐ On Appeal; ☐ Final	Y	3.A.	3.A. Current status of the Event? ☐ Pending; ☐ On Appeal; ☐ Final
E. Event Status Date ☐ Exact ☐ Explanation If not exact, provide explanation	Y	3.B.	3.B. Event Status Date ☐ Exact ☐ Explanation If not exact, provide explanation
4. Disposition Disclosure Detail	N		
5. Comment (Optional)	Y	5	5. Comment (Optional)

Regulatory Action: Mappable Fields

2003 DRP Version - Field	Field Maps Exactly?	Maps to New Field #	2009 DRP version - New Field
1. Regulatory Action Initiated by: (Radio button options): ☐ SEC ☐ Other Federal ☐ State ☐ SRO ☐ Foreign ☐ Federal Banking Agency ☐ National Credit Union Administration ☐ Other Full name of regulator:	Y	1A & 1B	1. Regulatory Action Initiated by: A. (Radio button options): ☐ SEC ☐ Other Federal Agency ☐ Jurisdiction ☐ SRO ☐ Foreign Financial Regulatory Authority ☐ Commodities Exchange ☐ Federal Banking Agency ☐ National Credit Union Administration ☐ Other B. Full name of regulator
2. Principal Sanction/Relief Sought	Y	2	2. Sanction(s) Sought
Other Sanctions:	N		
3. Date Initiated ☐ Exact ☐ Explanation If not exact, provide explanation	Y	3	3. Date Initiated ☐ Exact ☐ Explanation If not exact, provide explanation
4. Docket/Case #	Y	4	4. Docket/Case #
5. Employing Firm when activity occurred which led to the regulatory action	Y	5	5. Employing Firm when activity occurred which led to the regulatory action
6. Principal Product Type	Y	6	6. Product Type(s)
7. Describe the allegations related to this regulatory action	Y	7	7. Describe the allegations related to this regulatory action
8. Current Status? ☐ Pending; ☐ On Appeal; ☐ Final	Y	8	8. Current Status? ☐ Pending; ☐ On Appeal; ☐ Final
9. If on appeal, action appealed to (provide name of court:	N		
10. How was the matter resolved?	Y	11.A.	11. Resolution Detail A. How was the matter resolved?
11. Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Y	12	12. Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

2003 DRP Version - Field	Field Maps Exactly?	Maps to New Field #	2009 DRP version - New Field
12. Resolution Date	Y	11.B.	11. Resolution Detail B. Resolution Date
13. Resolution Detail	Y	13	13. Sanction Detail
A. Were any of the following sanctions ordered?	Y	13.A.	A. Were any of the following sanctions ordered or relief granted?
B. Other sanctions ordered	Y	13.B.	B. Other sanctions ordered
C. Sanction Detail	N		
14. Comment (Optional)	Y	14	14. Comment (Optional)

SRO Arbitration: Mappable Fields

2003 DRP Version - Field	Field Maps Exactly?	Maps to New Field #	2009 DRP version - New Field
1. Case Name	Y	1	1. Case Name
2. Arbitration/Reparation filed with:	Y	2	2. Arbitration/Reparation filed with:
3. Date case was initiated	Y	3	3. Date case was initiated
4. Case Number	Y	4	4. Case Number
5. Employing Firm when events occurred which led to the arbitration/reparation	Y	5	5. Employing Firm when events occurred which led to the arbitration/reparation
6. Allegation(s)	Y	6	6. Allegation(s)
7. Principal Product Type	Y	7	7. Principal Product Type
Other Product Types	N		
8. Alleged Compensatory Damage Amount	Y	8	8. Alleged Compensatory Damage Amount
9. Is arbitration/reparation currently pending? ○ Yes ○ No	Y	9	9. Is arbitration/reparation currently pending? ○ Yes ○ No
If No, how was arbitration/reparation resolved?	Y	10.A.	10.A. If status is not pending, how was arbitration/reparation resolved?
Resolution Date	Y	10.B.	10.B. Resolution Date
10. Disposition Details	N		