

## XML Complaints Format

| Tag Name                          | Max Length | Format     | Required / Optional | Notes  |
|-----------------------------------|------------|------------|---------------------|--|
| <filings-3070>                    |            |            | R                   | Container for filings  |
| <complaint>                       |            |            | R                   | Container for complaint  |
| <id></id>                         | 30         | A/N        | R                   | Member Firm's unique ID for the Complaint  |
| <date></date>                     | 10         | yyyy/mm/dd | R                   | Date complaint was received  |
| <firm-id></firm-id>               | 8          | number     | R                   | Firm's CRD #   |
| <branch-id></branch-id>           | 10         | A/N        | R                   | Use the assigned CRD branch code, or chose "HOME" if complaint is related to Home Office   |
| <branch-zip></branch-zip>         | 5          | number     | O                   | Branch ZIP Code  |
| <contact>                         |            |            | R                   | Container for contact info   |
| <phone-number></phone-number>     | 20         | A/N        | R                   | Contact's phone number   |
| <first-name></first-name>         | 30         | A/N        | R                   | First Name   |
| <last-name></last-name>           | 30         | A/N        | R                   | Last Name  |
| </contact>                        |            |            | R                   |  |
| <related-to>                      |            |            | R                   | Container for related-to information. You must select at least one option.   |
| <other></other>                   | 1          | number     | O                   | If complaint is related to Other, Use the value '1'.   |
| <rep></rep>                       | 1          | number     | O                   | If complaint is related to Rep, Use the value '1'.   |
| <firm></firm>                     | 1          | number     | O                   | If complaint is related to Firm, Use the value '1'.  |
| <affiliate></affiliate>           | 1          | number     | O                   | If complaint is related to Affiliate, Use the value '1'.   |
| </related-to>                     |            |            | R                   |  |
| <product></product>               | 2          | number     | R                   | Product Code   |
| <problem></problem>               | 2          | number     | R                   | Problem Code   |
| <customer>                        |            |            | R                   | Container for customer info  |
| <account-number></account-number> | 50         | A/N        | O                   | Customer's account number  |
| <first-name></first-name>         | 30         | A/N        | O                   | First Name   |
| <last-name></last-name>           | 255        | A/N        | R                   | Last Name  |
| </customer>                       |            |            | R                   |  |
| <activity-date></activity-date>   | 10         | yyyy/mm/dd | R                   | First date of Allegation Activity. The Activity From date must be equal or prior to the filing submission date. The system will allow zeros in the month or day fields for those instances where all such precise dates are not known (for example, when the specific day of the month is not known, but the month and year is known, you may enter "yyyy/mm/00").   |
| <activity-date2></activity-date2> | 10         | yyyy/mm/dd | R                   | Last date of Allegation Activity. Must be equal or prior to the filing submission date and equal or subsequent to the Activity From <activity-date> field entry. The system will allow zeros in the month or day fields for those instances where all such precise dates are not known (for example, when the specific day of the month is not known, but the month and year is known, you may enter "yyyy/mm/00"). If the activity is alleged or known to be ongoing, you should provide an explanation in the <comment> field. |
| <transaction>                     |            |            | R                   | Container for transaction info   |
| <amount></amount>                 | 12         | number     | O                   | Amount of the transaction  |
| <disputed-amount>                 |            |            | O                   | Container for the Disputed Amount Information. NOTE: Required for Sales Practice complaints.   |
| <dsptd-amt-flag></dsptd-amt-flag> | 1          | number     | O                   | Use 0 - exact amount is entered in <dsptd-amt> Use 1 - <dsptd-amt> is estimated to be \$5,000 or more / cannot determine Use 2 - <dsptd-amt> is estimated to be under \$5,000  |
| <dsptd-amt></dsptd-amt>           | 12         | number     | O                   | Amount in dispute (Required if <dsptd-amt-flag> contains a zero, otherwise not allowed)  |
| </disputed-amount>                |            |            | R                   |  |
| <securities>                      |            |            | R                   | Container for securities information   |
| <security>                        |            |            | R                   | Container for each security. Must supply at least one security entry. Can supply up to three securities. Use only one of the following two fields for each security being reported.  |
| <symbol></symbol>                 | 14         | alpha      | O                   | Enter a known symbol. Alphabetic characters and periods (.) are allowed. Do not use in conjunction with the <iss-descrpt> field.   |
| <iss-descrpt></iss-descrpt>       | 255        | A/N        | O                   | Use this to provide the Security Description (or NOT APPLICABLE if not security related) if the issue symbol is not known.   |
| </security>                       |            |            | R                   |  |
| </securities>                     |            |            | R                   |  |
| </transaction>                    |            |            | R                   |  |
| <investigator>                    |            |            | O                   | Container for investigator name  |
| <first-name></first-name>         | 30         | alpha      | O                   | First Name   |
| <last-name></last-name>           | 30         | alpha      | O                   | Last Name  |
| </investigator>                   |            |            | O                   |  |
| <response-date></response-date>   | 10         | yyyy/mm/dd | O                   | Date that your firm responded to this complaint.   |
| <representative>                  |            |            | O                   | Container for rep information. NOTE: If <rep> value is "1", then these values are Required.  |
| <id></id>                         | 12         | number     | O                   | Rep CRD ID. If <rep> value is "1", then this value is required.  |
| <location>                        |            |            | O                   |  |
| <city></city>                     | 15         | alpha      | O                   |  |
| <state></state>                   | 2          | alpha      | O                   |  |
| <zip></zip>                       | 5          | number     | O                   |  |
| </location>                       |            |            | O                   |  |
| <supervisor>                      |            |            | O                   | Container for Rep's supervisor. If <rep> value is "1", then this value is required.  |
| <first-name></first-name>         | 30         | alpha      | O                   | First Name. If <rep> value is "1", then this value is required.  |
| <last-name></last-name>           | 30         | alpha      | O                   | Last Name. If <rep> value is "1", then this value is required.   |
| </supervisor>                     |            |            | O                   |  |
| <employed></employed>             | 1          | number     | O                   | If representative is employed, then use the value '1'.   |
| </representative>                 |            |            | O                   |  |
| <comment></comment>               | 255        | text       | O                   | Freeform comment   |
| </complaint>                      |            |            | R                   |  |
| </filings-3070>                   |            |            | R                   |  |

**Hints about XML: Like HTML, every open tag must have a close tag. While indentation is not necessary, it does allow potential debugging of a faulty script easier.**