

Matrix of FINRA 4530 Complaint XML Versions

New 4530 Tag Name	3070 Tag Name (retiring 2017)	351 Tag Name (retired 2011)	Max length	Format	Required/O ptional	Notes
<filings-4530>	<filings-3070>	<Complaint351dRegulatoryFiling>			R	Container for filings.
		<complaints>				Container for complaints
<complaint>	<complaint>	<complaint>			R	Container for a complaint
<id></id>	<id></id>	<ComplaintNumber> </ComplaintNumber>	30	A/N	R	Member Firm's unique ID for the Complaint (labeled Firm Reference ID on the form)
<date></date>	<date></date>	<ComplaintDate> </ComplaintDate>	10	YYYY/M M/DD	R	Date complaint was received
<branch-id></branch-id>	<branch-id></branch-id>	<NYSEBranchCode> </NYSEBranchCode>	10	number	R	Use the assigned CRD branch code, or chose "HOME" if complaint is related to Home Office. No longer support "Home" as a branch id
<branch-zip></branch-zip>	<branch-zip></branch-zip>		5		O	
<contact>	<contact>	<contact>			R	Container for contact information.
		<info>			R	Container for contact details
<first-name></first-name>	<first-name></first-name>	<FirstName></FirstName>	30	A/N	R	First name
<last-name></last-name>	<last-name></last-name>	<LastName></LastName>	30	A/N	R	Last name
<phone-number> </phone-number>	<phone-number> </phone-number>	<PhoneNumber> </PhoneNumber>	20	A/N	R	Contact's phone number
<email></email>			70	A/N	O	New Optional field for contact email address
		</info>			R	
</contact>	</contact>	</contact>			R	

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<related-to>					R	Container for related-to information. You must select at least one option.
<other></other>	<other></other>		1	number	O	If complaint is related to Other, Use the value '1'.
<rep></rep>	<rep></rep>		1	number	O	If complaint is related to Registered Rep, Use the value '1'.
<firm></firm>	<firm></firm>		1	number	O	If complaint is related to Firm, Use the value '1'.
<affiliate></affiliate>	<affiliate></affiliate>		1	number	O	If complaint is related to Affiliate, Use the value '1'.
<ap></ap>			1	number	O	New If complaint is related to a Non-Registered Rep Associated Person, Use the value '1'.
<municipal></municipal>			1	number	O	New If complaint is related to a Municipal Advisory Services, Use the value '1'.
</related-to>	</related-to>					
<product></product>	<product></product>	<product></product>	2	number	R	Product Code
<problem></problem>	<problem></problem>	<problem></problem>	2	number	R	Problem Code
<customer>	<customer>	<customer>			R	Container for customer information
	<AccountNumber></AccountNumber>	<AccountNumber></AccountNumber>			R	Customer account number. Not being collected in 4530 format.
<first-name></first-name>	<first-name></first-name>	<FirstName></FirstName>	30	A/N	O	First Name
<last-name></last-name>	<last-name></last-name>	<LastName></LastName>	255	A/N	R	Last Name
</customer>	</customer>	</customer>			R	

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		<transaction>			R	Container for transaction information
<activity-date> </activity-date>	<activity-date> </activity-date>	<ActivityFromDate> </ActivityFromDate>	10	YYYY/M M/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>	<activity-date2> </activity-date2>	<ActivityToDate> </ActivityToDate>	10	YYYY/M M/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>	<transaction>				R	Container for transaction information
<amount></amount>	<amount></amount>	<amount></amount>	12	number	O	Amount of the transaction
<disputed -amount>	<disputed -amount>	<disputedAmount>			O	Container for the Disputed Amount Information. NOTE: Required for Sales Practice complaints.
<dsptd-amt-flag> </dsptd-amt-flag>	<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

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						under \$5,000
<dsptd-amt></dsptd-amt>	<dsptd-amt></dsptd-amt>		12	number	O	Amount in dispute (Required if <dsptd-amt-flag> contains a zero, otherwise not allowed)
		<specified></specified>	12	number		
		<other></other>				
</disputed-amount>	</disputed-amount>	</disputedAmount>				
<securities>	<securities>					Container for securities information. Must supply at least one security entry. Can supply up to three securities.
<security>	<security>	<Security>			O	Container for each security. Provide a security symbol OR a description, not both.
<symbol></symbol>	<symbol></symbol>	<symbol></symbol>	14	Alpha, periods (.)	O	Use this to provide the Security Description (or NOT APPLICABLE if not security related) if the issue symbol is not known.
<iss-descrpt></iss-descrpt>	<iss-descrpt></iss-descrpt>	<description></description>	255	A/N	O	Description of symbol. Provide information for either symbol or description, not both.
</Security>	</Security>	</Security>			R	
</securities>	</securities>					
</transaction>	</transaction>					
<investigator>	<investigator>					Container for investigator name
<first-name></first-name>	<first-name></first-name>	<FirstName></FirstName>	30	A/N	O	First Name

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<last-name></last-name>	<last-name></last-name>	<LastName><LastName>	30	A/N	R	Last name
</investigator>	</investigator>				O	
<response-date></response-date>	<response-date></response-date>		10	YYYY/M M/DD	O	Date that your firm responded to this complaint.
<representative>	<representative>					Container for rep information. NOTE: If <rep> value is "1", then these values are Required.
<id></id>	<id></id>	<RegisteredRepCRDNum></RegisteredRepCRDNum>	12	number	O	Rep CRD ID. If <rep> value is "1", then this value is required.
<location>	<location>				O	
<city></city>	<city></city>		15	alpha	O	
<state></state>	<state></state>		2	alpha	O	
<zip></zip>	<zip></zip>		5	number	O	
</location>	</location>					
<supervisor>	<supervisor>					Container for Rep's supervisor. If <rep> value is "1", then this value is required.
<first-name></first-name>	<first-name></first-name>	<FirstName></FirstName>	30	A/N	O	First Name
<last-name></last-name>	<last-name></last-name>	<LastName></LastName>	30	A/N	R	Last Name
</supervisor>	</supervisor>					
	<employed></employed>		1	number	O	If representative is employed, then use the value '1'. We are getting rid of this tag in the 4530 version since the question is not asked on the form.
</representative>	</representative>					

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		<OpenOrClosed></OpenOrClosed>				
<comment></comment>	<comment></comment>		255	text	O	Free form comment. Please do not include personally identifiable information, such as social security or account numbers.
</Complaint>	</Complaint>	</Complaint>			R	
		</Complaints>			R	
</filings-4530>	</filings-3070>	</Complaint351dRegulatoryFiling>			R	