

## Rule 4530 Disclosure Event Codes

Rule 4530 Event Code	Paragraph	Description
11	(a)(1)(A)	External Finding
12	(a)(1)(B)	Customer Complaint Involving Certain Allegations
13	(a)(1)(C)	Named in a Regulatory Proceeding
14	(a)(1)(D)	Subject to Other Regulatory Actions
15	(a)(1)(E)	Criminal Actions Involving Felonies and Certain Misdemeanors
16	(a)(1)(F)	Associated with a Financial Entity Subject to Certain Actions
17	(a)(1)(G)	Civil Litigation; Arbitration Matters; or Certain Claims for Damages
18	(a)(1)(H)	Statutory Disqualification
19	(a)(2)	Disciplinary Action Taken by a Firm Against an Associated Person
20	(b)	Internal Conclusion