

FINRA

**4530 Customer
Complaints and Disclosures
Data Dictionary**

Version 0.1

12-12-21

DATE	AUTHOR	VERSION	DESCRIPTION
01-07-21	Sarah Rose	0.1	Initial draft.
12-21-21	Sarah Rose	0.2	Added filing type code definition

Data Field	Data Description	Sample Value(s)
Filing Period	Quarterly reporting period in year (YYYY) and quarter (Q1) format.	2020Q1
Filing Number	The number assigned by FINRA systems when the filing is submitted.	124568
Filing Type Code	The filing type which may be a Complaint or Disclosure	C = Complaint D = Disclosure
Version Number	The version number for the filing	1
Status	The status of the filing.	Draft, Submitted
Firm CRD	The CRD ID for the organization submitting the filings.	79
Firm Sequence Number	Optional firm reference identifier (for firm use only) provided by firm when submitting the form filing.	BCD-123
Contact Last Name	Last name of person who submitted the 4530 filing.	John
Contact First Name	First name of person who submitted the 4530 filing.	Smith
Contact Phone Number	Phone number for person who submitted the 4530 filing.	202-555-1212
Contact Email	Email address for person who submitted the 4530 filing.	jsmith@email.com
Product Code	The product code most prominent in the complaint.	Product and Problem Codes
Problem Code	The problem code for the most egregious issue in the complaint.	Product and Problem Codes

Data Field	Data Description	Sample Value(s)
Event Code	The event code for the disclosure.	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
Alleged Activity Period Date 1	The start date of the alleged activity.	MM/DD/YYYY
Alleged Activity Period Date 2	The date the alleged activity ended.	MM/DD/YYYY
Alleged Activity Period Date Flag 1		1, Y, N, Missing
Alleged Activity Period Date Flag 2		1, Y, N, Missing
Complaint Related to Representative Flag	Indicates the complaint is primarily related to a Representative.	1

Data Field	Data Description	Sample Value(s)
Complaint Related to Account Payable Flag	Indicates the complaint is primarily related to an account payable.	1
Complaint Related to Firm Flag	Indicates the complaint is primarily concerned with a firm.	1
Complaint Related to Municipal Flag	Indicates the complaint is complaint is primarily related to Municipal Advisory Services.	1
Complaint Related to Other	Indicates the complaint is related to something other than a representative, account payable, municipal advisory service, or representative.	1
Discovery Date	Date the disclosable event was discovered.	MM/DD/YYYY
Response Date	Date firm responded to the complaint.	MM/DD/YYYY
Submission Date	Date the filing was submitted.	MM/DD/YYYY
Transaction Date	The start date of the alleged activity.	MM/DD/YYYY
Transaction Date 2	The end date of the alleged activity.	MM/DD/YYYY
Transaction Amount	The amount of the relevant transaction.	5101
Customer First Name	First name of the customer who made the complaint.	Jane
Customer Last Name	Last name of the customer who made the complaint.	Doe

Data Field	Data Description	Sample Value(s)
Disputed Amount Indicator	Indicator for if the disputed amount is under \$5,000, more than \$5,000 or a specific Total Disputed Amount.	<p>0 = exact disputed amount is entered in Total Disputed Amount</p> <p>1 = Disputed amount is estimated to be \$5,000 or more /cannot determine</p> <p>2 = Disputed amount is estimated to be under \$5,000</p> <p>Missing</p>
Total Disputed Amount	The total amount of the transaction that is a matter of customer complaint.	2131
Disposition Code	The disposition code	<p>A =Award J = Judgement S = Settlement</p> <p>Missing</p>
Disciplinary Action Code	Indicator for the type of disciplinary action taken toward the involved Representative, including Imposition of Fines (I), Suspension (S), Termination (T), or Withholding of Compensation (W).	<p>I = Imposition of Fines S = Suspension T = Termination W = Withholding of Compensation</p> <p>Missing</p>
Comment	Description of the reported situation or event.	text
Comment Summary	Summary of actions taken to rectify reported situation or event.	text
Explanation	Explanation for Statutory Disqualification (SD) disclosure event.	text
Branch CRD Number	CRD for the branch location where the alleged activity occurred or where the representative was located.	7895

Data Field	Data Description	Sample Value(s)
Branch State Code	State code for the branch location where the alleged activity occurred or where the representative was located.	MO
Branch Zip Code	Zip code for the branch location where the alleged activity occurred or where the representative was located.	20850
Investigator First Name	First name of investigator of the allegations.	Joe
Investigator Last Name	Last name of investigator of the allegations.	Doe
Other Party Name	Only shows for Disclosure Event Code 17 - civil litigation related disclosure and represents the name of the other party in the litigation.	RJ Rockwell
Representative CRD Number	CRD number for Representative engaged alleged activity.	1254
Representative City	City where Representative engaged alleged activity resides.	New York
Representative Employment Status Code	Code indicating the representative's employment status.	0 = Not Employed 1 = Employed Missing
Representative Supervisor FirstName	First name of the related representative's supervisor.	John
Representative Supervisor LastName	Last name of the related representative's supervisor.	Smith
Representative Zip Code Number	Zip code of the related representative's residence.	20850
Security Description 1	Description of the security related to the predominant allegation(s) in the complaint. If the security has a symbol, it must be used. Up to three securities can be listed in a complaint.	text

Data Field	Data Description	Sample Value(s)
Security Description 2	Description of the security related to the predominant allegation(s) in the complaint. If the security has a symbol, it must be used. Up to three securities can be listed in a complaint.	text
Security Description 3	Description of the security related to the predominant allegation(s) in the complaint. If the security has a symbol, it must be used. Up to three securities can be listed in a complaint.	text
Security Symbol 1	Symbol of the security related to the predominant allegation(s) in the complaint. May include up to three security symbols on a single complaint.	ABC
Security Symbol 2	Symbol of the security related to the predominant allegation(s) in the complaint. May include up to three security symbols on a single complaint.	ABC
Security Symbol 3	Symbol of the security related to the predominant allegation(s) in the complaint. May include up to three security symbols on a single complaint.	ABC
Statutory Disqualification Party Company Name	SD party company name.	Acme Corp.
Statutory Disqualification Party First Name	SD party first name.	Joe
Statutory Disqualification Party Last Name	SD party last name.	Smith
Statutory Disqualification Member Relation Code	Specifies relationship to Statutory Disqualification (SD). Can be Affiliate, Firm, Representative, or Other	A = Affiliate F = Firm R = Representative O = Other
Subjects Name	Subject named in the disclosure filing.	Jane Doe