

## 4530 Complaint Reporting XML Format

Effective October 1, 2017

Fields marked as optional may be required based on information contained within the filing. For example, Registered Representative information is not required unless the filing is related to a Registered Representative. See the “Notes” column for details.

Tag Name	Max Length	Format	Required/Optional	Notes
<filings-4530>			R	Container for filings
<complaint>			R	Container for complaint
<id></id>	30	A/N	R	Member firm's unique ID for this filing
<date></date>	10	YYYY/MM/DD		Date disclosure was discovered
<firm-id></firm-id>	8	Number	R	Firm's CRD number
<branch-id></branch-id>	10	Number	R	Enter the CRD Number of the location where the alleged activity occurred or where the representative is or was located. If the location cannot be determined, you may use the CRD Branch Number for the firm's CRD Main Office or Compliance department. You can no longer use the word MAIN or HOME as a valid entry.
<contact>			R	Container for contact information
<first-name></first-name>	30	A/N	R	Contact's first name
<last-name></last-name>	30	A/N	R	Contact's last name
<phone-number></phone-number>	20	Number	R	Contact's phone number
<email></email>	70	A/N	O	Contact's email address
</contact>			R	Close contact container
<related-to>			R	Container for related to information. At least one option must be selected.
<rep></rep>	1	Number	O	If complaint is related to Registered 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'.
<ap></ap>	1	Number	O	If complaint is related to a Non-Registered Rep Associated Person, use the value '1'.
<municipal> </municipal>	1	Number	O	If complaint is related to a Municipal Advisory Services, use the value '1'.

Tag Name	Max Length	Format	Required/ Optional	Notes
<other></other>	1	Number	O	If complaint is related to Other, use the value '1'.
</related-to>			R	Close related to container
<product></product>	2	Number	R	Product Code
<problem></problem>	2	Number	R	Problem Code
<customer>			R	Container for customer information
<first-name> </first-name>	30	A/N	O	Customer's first name
<last-name> </last-name>	255	A/N	R	Customer's last name
</customer>			R	Close customer information
<activity-date> </activity-date>	10	YYYY/MM/DD	R	First date of Allegation Activity. Must be equal or prior to the <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").

<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 information
<amount> </amount>	12	Number	O	Amount of the transaction

Tag Name	Max Length	Format	Required/Optional	Notes
<disputed-amount>	12	Number	O	Container for the Disputed Amount Information. Required if Event Code 12.
<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	Close disputed amount container
<securities>			R	Container for securities information. Must supply at least one and up to three securities if Event Code 12.
<security>			O	Container for each security. Must supply at least one security entry. Option to supply up to three securities. Use only one of the following two fields for each security reported. Provide a security symbol OR a description, not both.

<symbol></symbol>	14	Alpha, periods (.)	O	Spaces are not accepted.
<iss-descript></iss-descript>	255	A/N	O	Description of symbol. Can include "Not Applicable" as a valid value.
</security>			R	Close security container
</securities>			R	Close securities container
</transaction>			R	Close transaction container
<investigator>			O	Container for investigator information
<first-name></first-name>	30	A/N	O	Investigator's first name.
<last-name></last-name>	30	A/N	O	Investigator's last name.
</investigator>			O	Close investigator container
<response-date></response-date>	10	YYYY/MM/DD	O	Date that your firm responded to this complaint.
<representative>			O	Container for representative information
Tag Name	Max Length	Format	Required/Optional	Notes
<id></id>	12	Number	O	Rep CRD ID. If <rep> value is "1", then this value is required.
<location>			O	Container for location information
<city></city>	15	A/N	O	
<state></state>	2	Alpha	O	
</location>			O	Close location container
<supervisor>			O	Container for Rep's supervisor. If <rep> value is "1", then this value is required. 56
<first-name></first-name>	30	A/N	O	First Name. If <rep> value is "1", then this value is required.

<last-name> </last-name>	30	A/N	O	Last Name. If <rep> value is "1", then this value is required.
</supervisor>			O	Close supervisor container
</representative>			O	Close representative container
<comment> </comment>	2,000	A/N	O	Free form comment
</complaint>			R	Close complaint container
</filings-4530>			R	Close filings container