EDGAR® Form 17-H
XML Technical Specification

Version 1.3 **September 2021**

TABLE OF CONTENTS

LIST OF TABLES

1 INTRODUCTION

1.1 Purpose

This document details the valid structure and content of the Form 17-H Electronic Data Gathering, Analysis, and Retrieval (EDGAR) Extensible Markup Language (XML) submission types. The following table lists the submission types for Form 17-H.

Table 1-1: Form 17-H Submission Types

SUBMISSION TYPE	DESCRIPTION
17HACON	Confidential broker dealer annual 17-H report
17HACON/A	Amendment for confidential broker dealer annual 17-H report
17HQCON	Confidential broker dealer quarterly 17-H report
17HQCON/A	Amendment for confidential broker dealer quarterly 17-H report

This specification provides the basis for creating the aforementioned submission types for Form 17-H XML submissions. Filers must use this technical specification to generate a Form 17-H XML submission that can be successfully parsed by the EDGAR system.

The Form 17-H submission file must conform to the EDGAR Form 17-H Submission Taxonomy. This taxonomy is comprised of a collection of XML Schema Definition (.xsd) files that define the structures of EDGAR Form 17-H submissions.

The Form 17-H XML submissions can be transmitted to the SEC via the EDGAR FilerWeb (https://www.edgarfiling.sec.gov/) or the "Transmit XML Submission" option from the EDGAR OnlineForms/XML Website (*https://www.onlineforms.edgarfiling.sec.gov*).

In order to use the EDGAR FilerWeb or OnlineForms/XML Website, you must have a Central Index Key (CIK) and EDGAR access codes (password, CIK confirmation code (CCC)). If you currently have a CIK and access codes, you can proceed to the EDGAR FilerWeb or OnlineForms/XML Website to submit your submission. If you do not have access codes, you will need to obtain access codes through the EDGAR Filer Management website, *https://www.filermanagement.edgarfiling.sec.gov*. For further information regarding how to obtain access codes, refer to the "Becoming an EDGAR Filer" section of the EDGAR Filer Manual, Volume I (General Information).

For further information regarding the EDGAR FilerWeb or OnlineForms/XML Website, specifically in regards to the transmission of filer-constructed submissions, refer to the Filer Constructed XML Submissions section of the EDGAR Filer Manual, Volume II (EDGAR Filing).

1.2 Summary of Changes

On September 20, 2021, EDGAR Urgent Release 21.3 introduced the following changes:

- o Text for Country TAIWAN, PROVICE OF CHINA is changed to TAIWAN in eis_Common.xsd file.
- o Text for Country TAIWAN, PROVICE OF CHINA is changed to TAIWAN in eis_stateCodes.xsd file.
- o Code F5 is changed to TAIWAN in APPENDIX A.STATE/COUNTRY CODES.

2   EDGAR SCHEMA FILES

Table 2-1: Form 17-H Schema Files describes the schema files that the EDGAR system uses to validate Form 17-H submissions. These schemas are considered part of this specification and are distributed with this document.

Table 2-1: Form 17-H Schema Files

XML Schema File	Scope of File
eis_17H_Filer.xsd	Defines the elements for a Form 17-H submission
eis_Common.xsd	Defines the common elements for all EDGAR Form 17-H submissions
eis_stateCodes.xsd	Define the state and country codes for all EDGAR form 17-H submissions

The schema files define the valid data elements for a Form 17-H submission, the hierarchy and sequencing of these elements, data types, valid values, maximum lengths, and number of occurrences, etc.

It is recommended that you download these files and use them for your own validation prior to filing a submission. This will greatly reduce the likelihood of receiving an EDGAR Suspend error. These schema files contain several annotations that describe the nature of the content of some of the elements.

EDGAR performs several validation checks that are not related to the schema files, so it is possible for a submission to meet all the schema constraints and still be SUSPENDED or BLOCKED. For instance, EDGAR verifies that each CIK/CCC pair is valid.

2.1   Schema Table Column Definitions

We assume the filer is familiar with the basics of the XML language, Namespaces, and the XML Schema Definition language. If not, you can find numerous references on the World Wide Web. One recommended website that provides several useful tutorials and examples is http://www.w3schools.com/.

The table below highlights the schema language features used most heavily in the EDGAR Form 17-H submission schema files. These are:

Table 2-2: Schema Language

Indicator	Purpose
<sequence>	Specifies that child elements must appear in a specific order. This indicator is used with each element hierarchy. Elements must always appear in the order shown in Section 3.4.
<choice>	Specifies that only one of the child elements can be present within the containing element.
<minOccurs>	Specifies the minimum number of times that an element can occur.
<maxOccurs>	Specifies the maximum number of times that an element can occur.

3 XML SCHEMAS

This section summarizes the restrictions and constraints imposed on the content of the Form 17-H submission types. These rules are enforced by the schema files and by EDGAR submission processing applications.

The schema files cannot enforce all the rules concerning data content, so it is possible for a submission to satisfy all the schema constraints and still be SUSPENDED or BLOCKED by EDGAR.

3.1 Schema Table Column Definitions

The following table defines the columns in the two schema summation tables provided in Sections 3.4:

Table 3-1: Column Definitions for the Tables in Section 3-4

Column Name	Description
Level	Depth of element in the XML node hierarchy.
Order	Order in which elements must appear.
Data Type	See Table in Section 3.2 for a detailed description.
Element Name	Name of the XML element. This is case-sensitive.
Max Length	Maximum length for elements. EDGAR database stores up to this number of characters. "Unlimited" means no maximum length constraint for the element value.
Data Value Constraint	The paragraph that describes the data value constraint for the element. The values specified are case sensitive.
Max Occur	Maximum times a set of elements may be repeated. The maximum occurrence is 1, if not specified.
Applicability of Element	Indicates applicability of the element. m = Mandatory o = Optional NA = Does not apply. EDGAR uses this element for server-side processing. Do not provide a value for this element.

3.2 Data Type Constraints

Each entry in the "Data Type" column of these tables will be one of these values:

Data Type	Constraints
Boolean	Indicate a "true" value with the word "true". Indicate a "false" value with the word "false". A Boolean element may not have a null or blank value. This is a schema violation and will cause a SUSPENSE error.
date	Must be of the format MM-DD-YYYY. A date element may not have a null or blank value. This is a schema violation and will cause a SUSPENSE error. Do not include a date element at all if your goal is to not provide an optional date.
integer	Only valid characters are 0-9. Cannot contain commas, a minus sign, a dollar sign, or parentheses. An integer element may not have a null or blank value. This is a schema violation and will cause a SUSPENSE error.

Data Type	Constraints
string	Should be no longer than the length shown in the tables in Section 3.4. EDGAR stores values in the \<signatureName\>, and \<contactEmailAddress\> elements exactly as provided. All other values are stored in the database as uppercase. You must use special escape sequences to represent these four characters: For the < character use the escape sequence "<" or "<". For the > character use the escape sequence ">" or ">". For the & character use the escape sequence "&" or "&". For the "character use the escape sequence """ or """.
NV	These fields cannot have a value. They are parent element nodes that contain other XML elements. These elements need to be present for proper validation.
attr	Attribute property for an XML element.

3.3 Applicability of Schema Elements

Each entry in the submission/document type column in Section 3.4 will have one of these values:

Value	Description
m	Mandatory
m#	Conditional Mandatory. The element is mandatory if its parent element is included. The element cannot be included if its parent is not included.
m#1	Conditional Mandatory. The element is mandatory if specific values are provided for other elements.
m#2	This element is required for correct processing of the submission type.
o	Optional.
o#	Optional in the Schema. The value will be populated by EDGAR. Any value provided will be overwritten and a WARNING generated.
NA	Does not apply to submission type. EDGAR uses this field for server-side processing. Do not provide a value for this element.
blank	Does not apply to submission type.

3.4 Mapping of Form 17-H Submission Schemas to Submission Types

Level	Order	Data Type	Element/Attribute Length	Max Length	Choice List	Max Occur	17HACON	17HACON \ A	17HQCON	17HQCON \ A
1	1	NV	edgarSubmission			1	m	m	m	m
2	1	String	schemaVersion	5		1	o	o	o	o
2	2	NV	headerData			1	m	m	m	m
3	1	String	submissionType		[Submission Type](#)	1	m	m	m	m
3	2	NV	filerInfo			1	m	m	m	m
4	1	NV	filer			1	m	m	m	m
5	1	NV	filerCredentials			1	m	m	m	m
6	1	String	cik	10		1	m	m	m	m
6	2	String	ccc	8		1	m	m	m	m
5	2	String	fileNumber			1	m#1	m#1	m#1	m#1
4	2	NV	flags			1	o	o	o	o
5	1	boolean	returnCopyFlag		"true" or "false"	1	o	o	o	o
5	2	boolean	overrideInternetFlag		"true" or "false"	1	o	o	o	o
5	3	boolean	confirmingCopyFlag		"true" or "false"	1	o	o	o	o
4	3	NV	contact			1	m	m	m	m
5	1	String	contactName	30		1	m	m	m	m
5	2	string	contactPhoneNumber	20		1	m	m	m	m
5	3	String	contactEmailAddress	80		1	m	m	m	m
4	4	NV	notifications			1	o	o	o	o
5	1	String	notificationEmailAddress	80		3	o	o	o	o
4	5	String	liveTestFlag		"LIVE" or "TEST"	1	m	m	m	m
2	3	NV	formData			1	m	m	m	m
3	1	NV	partOnePageOne			1	m	m	m	m
4	1	string	nameReportingBrokerDealer	150		1	m	m	m	m
4	2	string	businessAddress	40		1	m	m	m	m
4	3	string	businessAddress2	40		1	m	m	m	m
4	4	string	city	30		1	m	m	m	m
4	5	String	stateOrCountry		[State/Country codes](#)	1	m	m	m	m
4	6	String	zipCode	10		1	m	m	m	m
4	7	String	firmId	40		1	o	o	o	o
4	8	string	beginningPeriod			1	m	m	m	m
4	9	string	endingPeriod			1	m	m	m	m
4	10	boolean	notFullYearFlag		"true" or "false"	1	o	NA	NA	NA

Level	Order	Data Type	Element/Attribute Length	Max Length	Choice List	Max Occur	17HACON	17HACON \ A	17HQCON	17HQCON \ A
4	11	boolean	filingType		Filing_Type	1	m	m	m	m
4	12	string	firstName	100		1	m	m	m	m
4	13	string	lastName	100		1	m	m	m	m
4	14	string	phoneNumber	20		1	m	m	m	m
4	15	string	emailAddress	80		1	m	m	m	m
4	16	NV	associatedMaterial			1	m	m	m	m
5	1	string	nameMaterialAssociatedPersonsInThisReport	150		50	m	m	m	m
4	16	string	nameMaterialAssociatedBrokerDealersQuestion	150	YES_NO_TYPE	1	m	m	m	m
4	17	string	nameMaterialAssociatedBrokerDearlersNotFiling	150		50	m#1	m#1	m#1	m#1
3	2	NV	signatureInfo			1	m	m	m	m
4	1	string	signatureCity	30		1	m	m	m	m
4	2	string	signatureState		State/Country codes	1	m	m	m	m
4	3	date	signatureDate			1	m	m	m	m
4	4	String	nameOfBroker	150		1	m	m	m	m
4	5	string	signatureOfDulyAuthorized	150		1	m	m	m	m
4	6	string	signatureTitle	100		1	m	m	m	m
3	3	NV	partOnePageTwo			1	m	m	m	m
4	1	boolean	organizationalChartNoMaterialChangesSinceLastFiledFlag			1	o	o	o	o
4	2	boolean	riskManagementAndOtherPoliciesSinceLastFiledFlag			1	o	o	o	o
4	3	boolean	legalProceedingsSinceLastFiledFlag			1	o	o	o	o
3	4	NV	partTwoDrpInfo			1	m	m	m	m
4	1	NV	partTwoDrp			1	m	m	m	m
5	1	string	nameMaterialAssociatedPersonsInThisReport	150		50	m	m	m	m
5	2	NV	partTwoI			1	o	o	o	o
6	1	Integer	usTreasurySecuritiesLong	24		1	o	o	o	o
6	2	Integer	usTreasurySecuritiesShort	24		1	o	o	o	o
6	3	Integer	usGovernmentAgencyLong	24		1	o	o	o	o
6	4	Integer	usGovernmentAgencyShort	24		1	o	o	o	o
6	5	Integer	securitieIssuedByStatesLong	24		1	o	o	o	o
6	6	Integer	securitieIssuedByStatesshort	24		1	o	o	o	o
6	7	NV	foreignSecurities			1	m	m	m	m
7	1	Integer	debtSecuritiesLong	24		1	o	o	o	o
7	2	Integer	debtSecuritiesShort	24		1	o	o	o	o

Level	Order	Data Type	Element/Attribute Length	Max Length	Choice List	Max Occur	17HACON	17HACON \ A	17HQCON	17HQCON \ A
7	3	Integer	equitySecuritiesLong	24		1	o	o	o	o
7	4	Integer	equitySecuritiesShort	24		1	o	o	o	o
6	8	Integer	bankerAcceptancesLong	24		1	o	o	o	o
6	9	Integer	bankerAcceptancesShort	24		1	o	o	o	o
6	10	Integer	certificatesOfDepositLong	24		1	o	o	o	o
6	11	Integer	certificatesOfDepositShort	24		1	o	o	o	o
6	12	Integer	commercialPaperLong	24		1	o	o	o	o
6	13	Integer	commercialPaperShort	24		1	o	o	o	o
6	14	Integer	corporateObligationsLong	24		1	o	o	o	o
6	15	integer	corporateObligationsShort	24		1	o	o	o	o
6	16	Integer	stocksAndWarrantsLong	24		1	o	o	o	o
6	17	Integer	stocksAndWarrantsShort	24		1	o	o	o	o
6	18	NV	arbitrage			1	m	m	m	m
7	1	Integer	indexArbitrageAndProgram TradingLong	24		1	o	o	o	o
7	2	integer	indexArbitrageAndProgram TradingShort	24		1	o	o	o	o
7	3	Integer	riskArbitrageLong	24		1	o	o	o	o
7	4	Integer	riskArbitrageShort	24		1	o	o	o	o
7	5	Integer	otherArbitrageLong	24		1	o	o	o	o
7	6	Integer	otherArbitrageShort	24		1	o	o	o	o
6	19	NV	marketValueCallOption			1	m	m	m	m
7	1	integer	listedLong	24		1	o	o	o	o
7	2	integer	listedShort	24		1	o	o	o	o
7	3	integer	unlistedLong	24		1	o	o	o	o
7	4	integer	unlistedShort	24		1	o	o	o	o
6	20	NV	marketValuePutOption			1	m	m	m	m
7	1	integer	listedLong	24		1	o	o	o	o
7	2	integer	listedShort	24		1	o	o	o	o
7	3	integer	unlistedLong	24		1	o	o	o	o
7	4	integer	unlistedShort	24		1	o	o	o	o
6	21	integer	spotCommoditiesLong	24		1	o	o	o	o
6	22	integer	spotCommoditiesShort	24		1	o	o	o	o
6	23	NV	investmentsWithNoReady Market			1	m	m	m	m
7	1	integer	equityLong	24		1	o	o	o	o
7	2	integer	equityShort	24		1	o	o	o	o
7	3	integer	debtShort	24		1	o	o	o	o
7	4	integer	debtLong	24		1	o	o	o	o
7	5	integer	otherLimitedPartnershipInte restsLong	24		1	o	o	o	o

Level	Order	Data Type	Element/Attribute Length	Max Length	Choice List	Max Occur	17HACON	17HACON\A	17HQCON	17HQCON\A
7	6	integer	otherLimitedPartnershipInterestsShort	24		1	o	o	o	o
6	24	integer	otherSecuritiesOrCommoditiesLong	24		1	o	o	o	o
6	25	integer	otherSecuritiesOrCommoditiesShort	24		1	o	o	o	o
5	3	NV	partTwoII			1	m	m	m	m
6	1	NV	issuedSecurities			1	m	m	m	m
7	1	integer	grossCommitmentsToPurchaseLong	24		1	o	o	o	o
7	2	integer	grossCommitmentsToPurchaseShort	24		1	o	o	o	o
7	3	integer	grossCommitmentsToSellLong	24		1	o	o	o	o
7	4	integer	grossCommitmentsToSellShort	24		1	o	o	o	o
6	2	NV	writtenStockOptionContracts			1	m	m	m	m
7	1	NV	marketValueCallContractsSecuritiesListed			1	m	m	m	m
8	1	integer	marketValueLong	24		1	o	o	o	o
8	2	integer	marketValueShort	24		1	o	o	o	o
8	3	integer	valueOfUnderlyingSecuritiesLong	24		1	o	o	o	o
8	4	integer	valueOfUnderlyingSecuritiesShort	24		1	o	o	o	o
7	2	NV	marketValueCallContractsSecuritiesUnListed			1	m	m	m	m
8	1	integer	marketValueLong	24		1	o	o	o	o
8	2	integer	marketValueShort	24		1	o	o	o	o
8	3	integer	valueOfUnderlyingSecuritiesLong	24		1	o	o	o	o
8	4	integer	valueOfUnderlyingSecuritiesShort	24		1	o	o	o	o
7	3	NV	marketValuePutContractsSecuritiesListed			1	m	m	m	m
8	1	integer	marketValueLong	24		1	o	o	o	o
8	2	integer	marketValueShort	24		1	o	o	o	o
8	3	integer	valueOfUnderlyingSecuritiesLong	24		1	o	o	o	o
8	4	integer	valueOfUnderlyingSecuritiesShort	24		1	o	o	o	o
7	4	NV	marketValuePutContractsSecuritiesUnListed			1	m	m	m	m
8	1	integer	marketValueLong	24		1	o	o	o	o
8	2	integer	marketValueShort	24		1	o	o	o	o
8	3	integer	valueOfUnderlyingSecuritiesLong	24		1	o	o	o	o
8	4	integer	valueOfUnderlyingSecuritiesShort	24		1	o	o	o	o
7	5	NV	marketValueNakedCallContractsSecuritiesListed			1	m	m	m	m

Level	Order	Data Type	Element/Attribute Length	Max Length	Choice List	Max Occur	17HACON	17HACON\A	17HQCON	17HQCON\A
8	1	integer	marketValueLong	24		1	o	o	o	o
8	2	integer	marketValueShort	24		1	o	o	o	o
8	3	integer	valueOfUnderlyingSecuritiesLong	24		1	o	o	o	o
8	4	integer	valueOfUnderlyingSecuritiesShort	24		1	o	o	o	o
7	6	NV	marketValueNakedCallContractsSecuritiesUnListed			1	m	m	m	m
8	1	integer	marketValueLong	24		1	o	o	o	o
8	2	integer	marketValueShort	24		1	o	o	o	o
8	3	integer	valueOfUnderlyingSecuritiesLong	24		1	o	o	o	o
8	4	integer	valueOfUnderlyingSecuritiesShort	24		1	o	o	o	o
7	7	NV	marketValueNakedPutContractsSecuritiesListed			1	m	m	m	m
8	1	integer	marketValueLong	24		1	o	o	o	o
8	2	integer	marketValueShort	24		1	o	o	o	o
8	3	integer	valueOfUnderlyingSecuritiesLong	24		1	o	o	o	o
8	4	integer	valueOfUnderlyingSecuritiesShort	24		1	o	o	o	o
7	8	NV	marketValueNakedPutContractsSecuritiesUnListed			1	m	m	m	m
8	1	integer	marketValueLong	24		1	o	o	o	o
8	2	integer	marketValueShort	24		1	o	o	o	o
8	3	integer	valueOfUnderlyingSecuritiesLong	24		1	o	o	o	o
8	4	integer	valueOfUnderlyingSecuritiesShort	24		1	o	o	o	o
6	3	NV	futures			1	m	m	m	m
7	1	integer	usTreasuryMortgageBackedSecuritiesFuturesLong	24		1	o	o	o	o
7	2	integer	usTreasuryMortgageBackedSecuritiesFuturesShort	24		1	o	o	o	o
7	3	string	otherFuturesDescription	1000		1	o	o	o	o
7	4	integer	otherFuturesLong	24		1	o	o	o	o
7	5	integer	otherFuturesShort	24		1	o	o	o	o
6	4	NV	treasuryMortgageBackedSecurities			1	o	o	o	o
7	1	integer	usTreasuryMortgageBackedSecuritiesLong	24		1	o	o	o	o
7	2	integer	usTreasuryMortgageBackedSecuritiesShort	24		1	o	o	o	o
7	3	NV	usTreasuryMortgageBackedSecuritiesForwards			1	m	m	m	m
8	1	integer	aggregateCostMaterialAssociatedPersonGainLong	24		1	o	o	o	o
8	2	integer	aggregateCostMaterialAssociatedPersonGainShort	24		1	o	o	o	o

Level	Order	Data Type	Element/Attribute Length	Max Length	Choice List	Max Occur	17HACON	17HACON \ A	17HQCON	17HQCON \ A
6	5	NV	otherForwards			1	m	m	m	m
7	1	string	otherForwardsDec	1000		1	o	o	o	o
7	2	integer	otherForwardsLong	24		1	o	o	o	o
7	3	integer	otherForwardsShort	24		1	o	o	o	o
7	4	NV	otherForwards			1	m	m	m	m
8	1	integer	aggregateCostMaterialAssociatedPersonGainLong	24		1	o	o	o	o
8	2	integer	aggregateCostMaterialAssociatedPersonGainShort	24		1	o	o	o	o
6	6	NV	usDollarDenominatedSwaps			1	m	m	m	m
7	1	integer	totalNotionalContractualAmountLong	24		1	o	o	o	o
7	2	integer	totalNotionalContractualAmountShort	24		1	o	o	o	o
7	3	integer	aggregateCostMaterialAssociatedPersonGainLong	24		1	o	o	o	o
7	4	integer	aggregateCostMaterialAssociatedPersonGainShort	24		1	o	o	o	o
6	7	NV	crossCurrentSwaps			1	m	m	m	m
7	1	integer	totalNotionalContractualAmountLong	24		1	o	o	o	o
7	2	integer	totalNotionalContractualAmountShort	24		1	o	o	o	o
7	3	integer	aggregateCostMaterialAssociatedPersonGainLong	24		1	o	o	o	o
7	4	integer	aggregateCostMaterialAssociatedPersonGainShort	24		1	o	o	o	o
6	8	NV	foreignExchangeSwaps			1	m	m	m	m
7	1	integer	totalNotionalContractualAmountLong	24		1	o	o	o	o
7	2	integer	totalNotionalContractualAmountShort	24		1	o	o	o	o
7	3	integer	aggregateCostMaterialAssociatedPersonGainLong	24		1	o	o	o	o
7	4	integer	aggregateCostMaterialAssociatedPersonGainShort	24		1	o	o	o	o
6	9	NV	notionalCommitments			1	m	m	m	m
7	1	integer	futuresLong	24		1	o	o	o	o
7	2	integer	futuresShort	24		1	o	o	o	o
7	3	integer	forwardsLong	24		1	o	o	o	o
7	4	integer	forwardsShort	24		1	o	o	o	o
7	5	NV	forwards			1	m	m	m	m
8	1	integer	aggregateCostMaterialAssociatedPersonGainLong	24		1	o	o	o	o
8	2	integer	aggregateCostMaterialAssociatedPersonGainShort	24		1	o	o	o	o
6	10	NV	nakedWrittenOptionContracts			1	m	m	m	m

Level	Order	Data Type	Element/Attribute Length	Max Length	Choice List	Max Occur	17HACON	17HACON \ A	17HQCON	17HQCON \ A
7	1	integer	contractualValueLong	24		1	o	o	o	o
7	2	integer	contractualValueShort	24		1	o	o	o	o
7	3	integer	valueUnderlyingInstrumentsLong	24		1	o	o	o	o
7	4	integer	valueUnderlyingInstrumentsShort	24		1	o	o	o	o
6	11	NV	allOtherSwapAgreements			1	m	m	m	m
7	1	string	otherSwapAgreementsDec	100		1	m	m	m	m
7	2	NV	allOtherSwapAgreements			1	o	o	o	o
8	1	integer	totalNotionalContractualAmountLong	24		1	o	o	o	o
8	2	integer	totalNotionalContractualAmountShort	24		1	o	o	o	o
8	3	integer	aggregateCostMaterialAssociatedPersonGainLong	24		1	o	o	o	o
8	4	integer	aggregateCostMaterialAssociatedPersonGainShort	24		1	o	o	o	o
6	12	NV	commodities			1	m	m	m	m
7	1	integer	futuresLong	24		1	o	o	o	o
7	2	integer	futuresShort	24		1	o	o	o	o
7	3	integer	forwardsLong	24		1	o	o	o	o
7	4	integer	forwardsShort	24		1	o	o	o	o
7	5	NV	forwards			1	m	m	m	m
8	1	integer	aggregateCostMaterialAssociatedPersonGainLong	24		1	o	o	o	o
8	2	integer	aggregateCostMaterialAssociatedPersonGainShort	24		1	o	o	o	o
6	13	NV	soldOptionContractsCommodities			1	m	m	m	m
7	1	NV	marketValueCallContractsCommoditiesListed			1	m	m	m	m
8	1	Integer	marketValueLong	24		1	o	o	o	o
8	2	Integer	marketValueShort	24		1	o	o	o	o
8	3	Integer	valueOfUnderlyingSecuritiesLong	24		1	o	o	o	o
8	4	Integer	valueOfUnderlyingSecuritiesShort	24		1	o	o	o	o
7	2	NV	marketValueCallContractsCommoditiesUnListed			1	o	o	o	o
8	1	Integer	marketValueLong	24		1	o	o	o	o
8	2	Integer	marketValueShort	24		1	o	o	o	o
8	3	Integer	valueOfUnderlyingSecuritiesLong	24		1	o	o	o	o
8	4	Integer	valueOfUnderlyingSecuritiesShort	24		1	o	o	o	o
7	3	NV	marketValuePutContractsCommoditiesListed			1	o	o	o	o
8	1	Integer	marketValueLong	24		1	o	o	o	o
8	2	Integer	marketValueShort	24		1	o	o	o	o

Level	Order	Data Type	Element/Attribute Length	Max Length	Choice List	Max Occur	17HACON	17HACON\A	17HQCON	17HQCON\A
8	3	Integer	valueOfUnderlyingSecuritiesLong	24		1	o	o	o	o
8	4	Integer	valueOfUnderlyingSecuritiesShort	24		1	o	o	o	o
7	4	NV	marketValuePutContractsCommoditiesUnListed			1	m	m	m	m
8	1	Integer	marketValueLong	24		1	o	o	o	o
8	2	Integer	marketValueShort	24		1	o	o	o	o
8	3	Integer	valueOfUnderlyingSecuritiesLong	24		1	o	o	o	o
8	4	Integer	valueOfUnderlyingSecuritiesShort	24		1	o	o	o	o
7	5	NV	marketValueNakedcallContractsCommoditiesListed			1	m	m	m	m
8	1	Integer	marketValueLong	24		1	o	o	o	o
8	2	Integer	marketValueShort	24		1	o	o	o	o
8	3	Integer	valueOfUnderlyingSecuritiesLong	24		1	o	o	o	o
8	4	Integer	valueOfUnderlyingSecuritiesShort	24		1	o	o	o	o
7	6	NV	marketValueNakedcallContractsCommoditiesUnListed			1	m	m	m	m
8	1	Integer	marketValueLong	24		1	o	o	o	o
8	2	Integer	marketValueShort	24		1	o	o	o	o
8	3	Integer	valueOfUnderlyingSecuritiesLong	24		1	o	o	o	o
8	4	Integer	valueOfUnderlyingSecuritiesShort	24		1	o	o	o	o
7	7	NV	marketValueNakedPutContractsCommoditiesListed			1	m	m	m	m
8	1	Integer	marketValueLong	24		1	o	o	o	o
8	2	Integer	marketValueShort	24		1	o	o	o	o
8	3	Integer	valueOfUnderlyingSecuritiesLong	24		1	o	o	o	o
8	4	Integer	valueOfUnderlyingSecuritiesShort	24		1	o	o	o	o
7	8	NV	marketValueNakedPutContractsCommoditiesUnListed			1	m	m	m	m
8	1	Integer	marketValueLong	24		1	o	o	o	o
8	2	Integer	marketValueShort	24		1	o	o	o	o
8	3	Integer	valueOfUnderlyingSecuritiesLong	24		1	o	o	o	o
8	4	Integer	valueOfUnderlyingSecuritiesShort	24		1	o	o	o	o
6	14	Integer	totalAmount	24		1	o	o	o	o
6	15	integer	unusedPortion	24		1	o	o	o	o
6	16	integer	totalStandbyCommercialLettersOfCreditOrGuarantees	24		1	o	o	o	o
6	17	integer	assetsSoldWithRecourse	24		1	o	o	o	o
6	18	string	otherOffBalanceSheetItemsDec	1000		1	o	o	o	o

Level	Order	Data Type	Element/Attribute Length	Max Length	Choice List	Max Occur	17HACON	17HACON \ A	17HQCON	17HQCON \ A
6	19	integer	otherOffBalanceSheetItems	24		1	o	o	o	o
5	4	NV	partTwoIII			1	m	m	m	m
6	1	integer	bridgeLoans	24		1	o	o	o	o
6	2	string	otherMaterialCreditExtensionDec	1000		1	o	o	o	o
6	3	integer	otherMaterialCreditExtension	24		1	o	o	o	o
6	4	integer	allowanceForLossesForCreditExtensions	24		1	o	o	o	o
5	5	NV	partTwoIV			1	m	m	m	m
6	1	NV	shortTermBorrowings			1	m	m	m	m
7	1	integer	commercialPaper	24		1	o	o	o	o
7	2	integer	bankLoansSecured	24		1	o	o	o	o
7	3	integer	bankLoansUnSecured	24		1	o	o	o	o
7	4	integer	other	24		1	o	o	o	o
7	5	integer	total	24		1	o	o	o	o
6	2	integer	longMediumTermDebt	24		1	o	o	o	o
6	3	integer	committedLinesCredit	24		1	o	o	o	o
6	4	integer	amountsBorrowedUnderCreditLines	24		1	o	o	o	o
6	5	NV	creditRatingsCommercialPaper			1	m	m	m	m
7	1	integer	standardPoorCorporation	24		1	o	o	o	o
7	2	integer	moodyInvestorService	24		1	o	o	o	o
7	3	integer	other_nationally_recognized_statistical_rating_organizations	24		1	o	o	o	o
5	6	NV	partTwoV			1	m	m	m	m
6	1	integer	realEstateLoans	24		1	m	m	m	m
7	1	integer	constructionLandDevelopment	24		1	o	o	o	o
7	2	integer	securedByFarmland	24		1	o	o	o	o
7	3	integer	securedByResidentialProperties	24		1	o	o	o	o
7	4	integer	commercialAndIndustrial	24		1	o	o	o	o
7	5	integer	other	24		1	o	o	o	o
6	2	NV	realEstateInvestments			1	m	m	m	m
7	1	integer	constructionLandDevelopment	24		1	o	o	o	o
7	2	integer	securedByFarmland	24		1	o	o	o	o
7	3	integer	securedByResidentialProperties	24		1	o	o	o	o
7	4	integer	commercialAndIndustrial	24		1	o	o	o	o
7	5	integer	other	24		1	o	o	o	o
2	4	NV	documents			1	m	m	m	m

Level	Order	Data Type	Element/Attribute Length	Max Length	Choice List	Max Occur	17HACON	17HACON \ A	17HQCON	17HQCON \ A
3	1	NV	document			unlimited	m	m	m	m
4	1	string	conformedName	32		1	m#	m#	m#	m#
4	2	string	conformedDocumentType			1	m#	m#	m#	m#
4	3	string	contents			1	m#	m#	m#	m#
4	4	string	nameMaterialAssociatedPersonsInThisReport	150		1	m#	m#	m#	m#

4 FORM 17-H SCHEMA DATA VALUE CONSTRAINTS

4.1 SUBMISSION_TYPE

These are the valid values for the <SUBMISSION_TYPE> element in the submission file:

VALUE	CODE DESCRIPTION
17HACON	Confidential broker dealer annual 17-H report
17HACON/A	Amendment for confidential broker dealer annual 17-H report
17HQCON	Confidential broker dealer quarterly 17-H report
17HQCON/A	Amendment for confidential broker dealer quarterly 17-H report

4.2 FILING_TYPE

These are the valid values for the <FILING_TYPE> element in the submission file:

VALUE
Quarterly
Annual
Amended

4.3 YES_NO_TYPE

These are the valid values for the <YES_NO_TYPE> for the element in the submission file:

VALUE
Y
N

5 BASIC SUBMISSION CONSTRUCTION

5.1 General Formatting of XML Files

The following rules apply to the submission file of an XML-format Form 17-H submission:

1. The filename must end with an ".xml" extension.

2. The file cannot be compressed in any fashion.

3. We strongly recommend you format the submission as shown in the provided sample files. This makes the raw XML files easier to view in a text editor. The submission of ASCII XML files with no line breaks, while legal XML is strongly discouraged. XML filings are required to be posted on public websites. While usually formatted via style sheets, the raw XML is frequently available for inspection and should be readable by a person. A single line XML file is not viewer-friendly and should be avoided.

4. The <?xml version="1.0"?> declaration line is optional; however, if it is included it must be the first line in the file. Any text entered before this line, even white space, will cause a SUSPENSE error. The version value must be "1.0." Any other value for version will cause a SUSPENSE error.

5. For an XML element with a data value, keep the begin tag, data value, and end tag on the same line of text. Otherwise, you could get a schema violation error. As an example, for a filer ID value which cannot be longer than 10 characters, this specification is correct:

   <cik>1212121212</cik>

6. The specification below will result in a parsing error because the extraneous white space and line feeds will be counted as part of the length of the data value. In other words, the CIK value will be regarded as longer than 10 characters.

   <cik>
   1212121212
   </cik>

5.2 XML Submission File Rules

The following rules apply to the supporting document XML-format:

1. The <?xml version="1.0"?> declaration line is optional; however, if it is included it must be the first line in the file. Any text entered before this line, even white space, will cause an error. The version value must be "1.0." Any other value for version will cause an error.

2. The XML elements cannot have any namespaces.

   For e.g.: It has to be <contactName> and not <ns1:contactName>

3. The order of any <notificationEmailAddress> elements does not matter.

4. The submission file must conform to the XML schema files. Any violation of this schema will result in the suspension of the filing.

5.1.1 Enclosing a Document

1. Allowable file extensions are .pdf, .txt, .htm, .jpg, .xml and .gif.
2. The names of attached document files must follow the EDGAR file naming conventions:
   - File names cannot exceed 32 characters, including the file extension.
   - Valid characters are lowercase letters, digits 0-9, up to one underscore, up to one hyphen, and up to one period.
   - First character must be a letter.
   - Spaces are not allowed.
   - File name must have a file type extension of .xml.
3. The names of attached document files must follow the EDGAR file naming conventions:
   - File names cannot exceed 32 characters, including the file extension.
   - Valid characters are lowercase letters, digits 0-9, up to one underscore, up to one hyphen, and up to one period.
   - First character must be a letter.
   - Spaces are not allowed.
   - File name must have a file type extension of .xml.
4. The <description> is optional, but all other elements must be present and must have a value.
5. The <contents> element must contain a MIME encoded document. You can use any standard 64-character set based MIME encoding algorithm to create a MIME document.
6. The XML for an enclosed supporting document looks like this:

```
<documents>
   <document>
             < conformedName>test1.txt</ conformedName>
             < conformedDocumentType>????</ conformedDocumentType>
             < description> Description field text here... </ description>
             < contents> dGVzdGA= </ contents>
   </document>
   document>
             < conformedName>test2.txt</ conformedName>
             < conformedDocumentType>????</ conformedDocumentType>
             < description> Description field text here... </ description>
             < contents> dGVzdGA= </ contents>
   </document>
      </documents>
```

6   ERROR REPORTING

EDGAR will generate an error for each violation of an XML schema constraint, as well as for each violation of a Form 17-H filing business rule. The schema files do not enforce all error checks, so it is possible to construct a submission that meets all the schema constraints yet is still SUSPENDED.

This table summarizes the errors that can result from violations of schema constraints and EDGAR business rules. This is not an all-inclusive list.

Table 6-1: Submission Errors and Severity

Error Condition	Severity
Elements not in sequence prescribed in Section 3.4	SUSPENDED
Inclusion of XML-stylesheet reference or any other Processing Instruction	SUSPENDED
Inclusion of an element not prescribed in the schema	SUSPENDED
String value exceeds maximum length constraint	SUSPENDED
Element constrained by a Choice List has an invalid value	SUSPENDED
Mandatory element has no value or an invalid value	SUSPENDED
Special character (&, <, >) not provided as escape sequence	SUSPENDED
Date, Boolean, or Decimal element does not have a value	SUSPENDED
Duplicate Notification Address	WARNING
"NA" or blank field has a value	WARNING
Invalid Issuer CIK	SUSPENDED
Improperly formatted email address	SUSPENDED
Exceeding a "Max Occur" limit from Section 3.4	SUSPENDED

You may sometimes get multiple error messages reporting the same error. The XML parser EDGAR used to process a Form 17-H submission generates messages that are rather technical in nature and require an understanding of the XML schema language. Whenever possible, EDGAR generates a more "friendly" error message to give a precise description of the error.

6.1   State/Country CODES

These are the valid designators for the <stateOrCountry> element in the primary document.

Code	State/Country Name
AL	ALABAMA
AK	ALASKA
AZ	ARIZONA
AR	ARKANSAS
CA	CALIFORNIA
CO	COLORADO
CT	CONNECTICUT
DE	DELAWARE
DC	DISTRICT OF COLUMBIA
FL	FLORIDA
GA	GEORGIA
GU	GUAM
HI	HAWAII
ID	IDAHO
IL	ILLINOIS
IN	INDIANA
IA	IOWA
KS	KANSAS
KY	KENTUCKY
LA	LOUISIANA
ME	MAINE
MD	MARYLAND
MA	MASSACHUSETTS
MI	MICHIGAN
MN	MINNESOTA
MS	MISSISSIPPI
MO	MISSOURI
MT	MONTANA
NE	NEBRASKA
NV	NEVADA
NH	NEW HAMPSHIRE
NJ	NEW JERSEY
NM	NEW MEXICO
NY	NEW YORK
NC	NORTH CAROLINA
ND	NORTH DAKOTA
OH	OHIO
OK	OKLAHOMA
OR	OREGON
PA	PENNSYLVANIA
RI	RHODE ISLAND

Code	State/Country Name
SC	SOUTH CAROLINA
SD	SOUTH DAKOTA
TN	TENNESSEE
TX	TEXAS
UT	UTAH
VT	VERMONT
VA	VIRGINIA
WA	WASHINGTON
WV	WEST VIRGINIA
WI	WISCONSIN
WY	WYOMING
PR	PUERTO RICO
VI	VIRGIN ISLANDS, U.S.
A0	ALBERTA, CANADA
A1	BRITISH COLUMBIA, CANADA
Z4	CANADA (FEDERAL LEVEL)
A2	MANITOBA, CANADA
A3	NEW BRUNSWICK, CANADA
A4	NEWFOUNDLAND, CANADA
A5	NOVA SCOTIA, CANADA
A6	ONTARIO, CANADA
A7	PRINCE EDWARD ISLAND, CANADA
A8	QUEBEC, CANADA
A9	SASKATCHEWAN, CANADA
B0	YUKON, CANADA
B2	AFGHANISTAN
Y6	ALAND ISLANDS
B3	ALBANIA
B4	ALGERIA
B5	AMERICAN SAMOA
B6	ANDORRA
B7	ANGOLA
1A	ANGUILLA
B8	ANTARCTICA
B9	ANTIGUA AND BARBUDA
C1	ARGENTINA
1B	ARMENIA
1C	ARUBA
C3	AUSTRALIA
C4	AUSTRIA
1D	AZERBAIJAN
C5	BAHAMAS
C6	BAHRAIN
C7	BANGLADESH

Code	State/Country Name
C8	BARBADOS
1F	BELARUS
C9	BELGIUM
D1	BELIZE
G6	BENIN
D0	BERMUDA
D2	BHUTAN
D3	BOLIVIA
1E	BOSNIA AND HERZEGOVINA
B1	BOTSWANA
D4	BOUVET ISLAND
D5	BRAZIL
D6	BRITISH INDIAN OCEAN TERRITORY
D9	BRUNEI DARUSSALAM
E0	BULGARIA
X2	BURKINA FASO
E2	BURUNDI
E3	CAMBODIA
E4	CAMEROON
E8	CAPE VERDE
E9	CAYMAN ISLANDS
F0	CENTRAL AFRICAN REPUBLIC
F2	CHAD
F3	CHILE
F4	CHINA
F6	CHRISTMAS ISLAND
F7	COCOS (KEELING) ISLANDS
F8	COLOMBIA
F9	COMOROS
G0	CONGO
Y3	CONGO, THE DEMOCRATIC REPUBLIC OF THE
G1	COOK ISLANDS
G2	COSTA RICA
L7	COTE D'IVOIRE
1M	CROATIA
G3	CUBA
G4	CYPRUS
2N	CZECH REPUBLIC
G7	DENMARK
1G	DJIBOUTI
G9	DOMINICA
G8	DOMINICAN REPUBLIC
H1	ECUADOR
H2	EGYPT

Code	State/Country Name
H3	EL SALVADOR
H4	EQUATORIAL GUINEA
1J	ERITREA
1H	ESTONIA
H5	ETHIOPIA
H7	FALKLAND ISLANDS (MALVINAS)
H6	FAROE ISLANDS
H8	FIJI
H9	FINLAND
I0	FRANCE
I3	FRENCH GUIANA
I4	FRENCH POLYNESIA
2C	FRENCH SOUTHERN TERRITORIES
I5	GABON
I6	GAMBIA
2Q	GEORGIA (COUNTRY)
2M	GERMANY
J0	GHANA
J1	GIBRALTAR
J3	GREECE
J4	GREENLAND
J5	GRENADA
J6	GUADELOUPE
J8	GUATEMALA
Y7	GUERNSEY
J9	GUINEA
S0	GUINEA-BISSAU
K0	GUYANA
K1	HAITI
K4	HEARD ISLAND AND MCDONALD ISLANDS
X4	HOLY SEE (VATICAN CITY STATE)
K2	HONDURAS
K3	HONG KONG
K5	HUNGARY
K6	ICELAND
K7	INDIA
K8	INDONESIA
K9	IRAN, ISLAMIC REPUBLIC OF
L0	IRAQ
L2	IRELAND
Y8	ISLE OF MAN
L3	ISRAEL
L6	ITALY
L8	JAMAICA

Code	State/Country Name
M0	JAPAN
Y9	JERSEY
M2	JORDAN
1P	KAZAKSTAN
M3	KENYA
J2	KIRIBATI
M4	KOREA, DEMOCRATIC PEOPLE'S REPUBLIC OF
M5	KOREA, REPUBLIC OF
M6	KUWAIT
1N	KYRGYZSTAN
M7	LAO PEOPLE'S DEMOCRATIC REPUBLIC
1R	LATVIA
M8	LEBANON
M9	LESOTHO
N0	LIBERIA
N1	LIBYAN ARAB JAMAHIRIYA
N2	LIECHTENSTEIN
1Q	LITHUANIA
N4	LUXEMBOURG
N5	MACAU
1U	MACEDONIA, THE FORMER YUGOSLAV REPUBLIC OF
N6	MADAGASCAR
N7	MALAWI
N8	MALAYSIA
N9	MALDIVES
O0	MALI
O1	MALTA
1T	MARSHALL ISLANDS
O2	MARTINIQUE
O3	MAURITANIA
O4	MAURITIUS
2P	MAYOTTE
O5	MEXICO
1K	MICRONESIA, FEDERATED STATES OF
1S	MOLDOVA, REPUBLIC OF
O9	MONACO
P0	MONGOLIA
Z5	MONTENEGRO
P1	MONTSERRAT
P2	MOROCCO
P3	MOZAMBIQUE
E1	MYANMAR
T6	NAMIBIA
P5	NAURU

Code	State/Country Name
P6	NEPAL
P7	NETHERLANDS
P8	NETHERLANDS ANTILLES
1W	NEW CALEDONIA
Q2	NEW ZEALAND
Q3	NICARAGUA
Q4	NIGER
Q5	NIGERIA
Q6	NIUE
Q7	NORFOLK ISLAND
1V	NORTHERN MARIANA ISLANDS
Q8	NORWAY
P4	OMAN
R0	PAKISTAN
1Y	PALAU
1X	PALESTINIAN TERRITORY, OCCUPIED
R1	PANAMA
R2	PAPUA NEW GUINEA
R4	PARAGUAY
R5	PERU
R6	PHILIPPINES
R8	PITCAIRN
R9	POLAND
S1	PORTUGAL
S3	QATAR
S4	REUNION
S5	ROMANIA
1Z	RUSSIAN FEDERATION
S6	RWANDA
Z0	SAINT BARTHELEMY
U8	SAINT HELENA
U7	SAINT KITTS AND NEVIS
U9	SAINT LUCIA
Z1	SAINT MARTIN
V0	SAINT PIERRE AND MIQUELON
V1	SAINT VINCENT AND THE GRENADINES
Y0	SAMOA
S8	SAN MARINO
S9	SAO TOME AND PRINCIPE
T0	SAUDI ARABIA
T1	SENEGAL
Z2	SERBIA
T2	SEYCHELLES
T8	SIERRA LEONE

Code	State/Country Name
U0	SINGAPORE
2B	SLOVAKIA
2A	SLOVENIA
D7	SOLOMON ISLANDS
U1	SOMALIA
T3	SOUTH AFRICA
1L	SOUTH GEORGIA AND THE SOUTH SANDWICH ISLANDS
U3	SPAIN
F1	SRI LANKA
V2	SUDAN
V3	SURINAME
L9	SVALBARD AND JAN MAYEN
V6	SWAZILAND
V7	SWEDEN
V8	SWITZERLAND
V9	SYRIAN ARAB REPUBLIC
F5	TAIWAN
2D	TAJIKISTAN
W0	TANZANIA, UNITED REPUBLIC OF
W1	THAILAND
Z3	TIMOR-LESTE
W2	TOGO
W3	TOKELAU
W4	TONGA
W5	TRINIDAD AND TOBAGO
W6	TUNISIA
W8	TURKEY
2E	TURKMENISTAN
W7	TURKS AND CAICOS ISLANDS
2G	TUVALU
W9	UGANDA
2H	UKRAINE
C0	UNITED ARAB EMIRATES
X0	UNITED KINGDOM
2J	UNITED STATES MINOR OUTLYING ISLANDS
X3	URUGUAY
2K	UZBEKISTAN
2L	VANUATU
X5	VENEZUELA
Q1	VIET NAM
D8	VIRGIN ISLANDS, BRITISH
X8	WALLIS AND FUTUNA
U5	WESTERN SAHARA
T7	YEMEN

Code	State/Country Name
Y4	ZAMBIA
Y5	ZIMBABWE

6.2 ACRONYMS

Acronym	Description
ASCII	American Standard Code for Information Interchange
CCC	CIK Confirmation Code
CIK	Central Index Key
EDGAR	Electronic Data Gathering, Analysis, and Retrieval
PDF	Portable Document Format
SEC	Securities and Exchange Commission
XML	Extensible Markup Language
XBRL	eXtensible Business Reporting Language