Investment Adviser Public Disclosure
IA Representative Compilation Reports - XML Guide

Release 2017.09

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Introduction

The Investment Adviser Compilation Reports data is collected from electronic submissions of Form ADV by investment adviser firms to the Investment Adviser Registration Depository (IARD) system. This system, which is operated by FINRA Regulation, Inc., permits investment advisers to satisfy their filing obligations under state and federal law with a single electronic filing made over the Internet. Neither the SEC nor the state securities authorities have approved the information filed on Form ADV, and we cannot guarantee its accuracy.

Investment advisers file Form ADV Part 1A to register with the SEC and /or the states or file certain sections of Form ADV to report as an Exempt Reporting Adviser with the SEC and/or states. In addition investment advisers must also file Form ADV Part 1B to register with states. Form ADV contains information about an investment adviser and its business operations. Form ADV also contains disclosure about certain disciplinary events.

The SEC Registered Advisers compilation report includes the following section of the Form ADV:

Item 1 - Identifying Information

Item 2 - SEC Registration

Item 3 - Form of Organization

Item 5 - Information About Your Advisory Business

Item 6 - Other Business Activities

Item 7 - Financial Industry Affiliations and Private Fund Reporting

Item 8 - Participation or Interest in Client Transactions

Item 9 - Custody

Item 10 - Control Persons

Item 11 - Disclosure Information

Please note that Exempt Reporting Advisers only file Items 1, 2, 3, 6, 7, 10, and 11 on Form ADV.

State Investment Advisers file all of the above with the following exceptions:

Item 2 - SEC Registration is not included

Part 1B is included.

Please refer to the Form ADV for a full description of the data fields included in these reports; the Form ADV maybe be found at
http://www.sec.gov/about/forms/formadv.pdf

The reports are available for download as XML files. This document provides the description for all the fields/elements included in the XML schema.

Example - IAPD SEC Compilation Report

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<? xml version = " 1.0 " encoding = " iso-8859-1 " ?>
< IAPDFirmSECReport GenOn = " 2017-09-30 " >
       < Firms >
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                     9999 " />
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                     < Filing Dt = " 9999-01-01 " FormVrsn = " 01/0000 " />
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                                                 < WebAddr > WWW.XXX.COM </ WebAddr >
                                          </ WebAddrs >
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                                   < Item2B Q2B1 = " N " Q2B2 = " N " Q2B3 = " N " />
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                                   Q5D1J = " 0 " Q5D1K = " 0 " Q5D1L = " 0 " Q5D1M = " 0 " Q5D1MOth = " X " Q5D2A = " 0 " Q5D2B = " 0 " Q5D2C = " 0 " Q5D2D = " 0 " Q5D2E = " 0 "
                                   Q5D2F = " 0 " Q5D2G = " 0 " Q5D2H = " 0 " Q5D2I = " 0 " Q5D2J = " 0 " Q5D2K = " 0 " Q5D2L = " 0 " Q5D2M = " 0 " Q5D2MOth = " X " Q5DA1 = " 0 "
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                    </WebAddrs>
                </Item1>
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                <Item3B Q3B=" DECEMBER " />
                <Item3C StateCD=" NJ " CntryNm=" XXX " />
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                <Item5I Q5I1=" N " Q5I2=" N " />
                <Item5J Q5J=" N " />
                <Item6A />
                <Item6B Q6B1=" N " Q6B2=" N " Q6B3=" N " />
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                <Item8E Q8E=" N " />
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                <Item8G Q8G1=" N " />
                <Item8H Q8H=" N " />
                <Item8I Q8I=" N " />
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                <Item9B Q9B1A=" N " Q9B1B=" N " />
                <Item9C Q9C1=" N " Q9C2=" N " Q9C3=" N " Q9C4=" N " />
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                <Item9E />
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                <Item11B Q11B1=" N " Q11B2=" N " />
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                <Item11F Q11F=" N " />
                <Item11G Q11G=" N " />
                <Item11H Q11H1A=" N " Q11H1B=" N " Q11H1C=" N " Q11H2=" N " />
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</Firms>
</IAPDFirmSECReport>
```

Example - IAPD State Compilation Report

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<? xml version = " 1.0 " encoding = " iso-8859-1 " ?>
< IAPDFirmStateReport GenOn = " 2017-09-30 " >
    < Firms >
        < Firm >
            < Info FirmCrdNb = " 9999 " BusNm = " XXX INC. " LegalNm = " XXX INC. " UmbrRgstn = " N " />
            < MainAddr Strt1 = " XXX RD. " Strt2 = " XXX " City = " XXX " State = " MI " Cntry = " XXX " PostlCd = " 99999 " PhNb = " 999-999-9999 " FaxNb = " 999-999-9999 " />
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                    < Rgltr Cd = " FL " St = " APPROVED " Dt = " 9999-07-24 " />
                    < Rgltr Cd = " MI " St = " APPROVED " Dt = " 9999-01-02 " />
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            </ StateRgstn >
            < ERA >
                < Rgltrs />
            </ ERA >
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                            < WebAddr > WWW.XXX.COM </ WebAddr >
                        </ WebAddrs >
                    </ Item1 >
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                    < Item3C StateCD = " MI " CntryNm = " XXX " />
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                    < Item8D Q8D = " N " />
                    < Item8E Q8E = " N " />
                    < Item8F Q8F = " N " />
                    < Item8G Q8G1 = " N " Q8G2 = " N " />
                    < Item8H Q8H = " N " Q8H1 = " N " Q8H2 = " N " />
                    < Item8I Q8I = " N " />
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                    < Item9B Q9B1A = " N " Q9B1B = " N " />
                    < Item9C Q9C1 = " N " Q9C2 = " N " Q9C3 = " N " Q9C4 = " N " />
                    < Item9D Q9D1 = " N " Q9D2 = " N " />
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                    < Item9F Q9F = " 0 " />
                    < Item10A Q10A = " N " />
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                    < Item11G Q11G = " N " />
                    < Item11H Q11H1A = " N " Q11H1B = " N " Q11H1C = " N " Q11H2 = " N " />
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                < Part1B >
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            N " Q1B2F3 = " N " Q1B2F4 = " N " Q1B2F5 = " N " />
            < ItemG Q1BG1IssueScrts = " N " Q1BG1PoolInvmt = " N " Q1BG1ReAdvsr = " N " Q1BG1TaxPrprr = " N " Q1BG1XcldPoolInvmt = " N " Q1B2G2 = " X
            " />
            < ItemH Q1B2HNScrtsNvsmt = " 0 " Q1B2HNScrtsNvsmtAm = " 0 " Q1B2HScrtsNvsmt = " 0 " Q1B2HScrtsNvsmtAm = " 0 " />
            < ItemI Q1B2I1 = " Y " Q1B2I1A = " Y " Q1B2I1B = " Y " Q1B2I1C = " Y " Q1B2I3 = " N " />
            < ItemJ Q1BJ1A = " N " Q1BJ1B = " N " Q1BJ2A = " N " Q1BJ2BCfp = " N " Q1BJ2BCfa = " N " Q1BJ2BChfc = " N " Q1BJ2BCic = " N " Q1BJ2BPfs = " N
            " Q1BJ2BNone = " N " />
            < ItemK Q1B2K1 = " 9999-01-01 " Q1B2K2 = " X " />
        </ Part1B >
    </ FormInfo >
</ Firm >
< Firm >
    < Info FirmCrdNb = " 99999 " BusNm = " XXX " LegalNm = " XXX " />
    < MainAddr Strt1 = " XXX RD. " Strt2 = " XXX " City = " XXX " State = " MI " Cntry = " XXX " PostlCd = " 99999 " PhNb = " 999-999-9999 " FaxNb = " 999-999-9999
    " />
    < MailingAddr Strt1 = " XXX RD. " Strt2 = " XXX " City = " XXX " State = " MI " Cntry = " XXX " PostlCd = " 99999 " />
    < StateRgstn >
        < Rgltrs >
            < Rgltr Cd = " IL " St = " APPROVED " Dt = " 9999-08-23 " />
            < Rgltr Cd = " PA " St = " APPROVED " Dt = " 9999-02-28 " />
        </ Rgltrs >
    </ StateRgstn >
    < ERA >
        < Rgltrs >
            < Rgltr Cd = " IN " St = " ACTIVE " Dt = " 9999-01-13 " />
        </ Rgltrs >
    </ ERA >
    < Filing Dt = " 9999-02-17 " FormVrsn = " 11/9999 " />
    < FormInfo >
        < Part1A >
            < Item1 Q1I = " N " Q1M = " N " Q1N = " N " Q1O = " N " >
                < WebAddrs >
                    < WebAddr > WWW.XXX.COM </ WebAddr >
                </ WebAddrs >
            </ Item1 >
            < Item3A OrgFormNm = " XXX " />
            < Item3B Q3B = " DECEMBER " />
            < Item3C StateCD = " IL " CntryNm = " XXX " />
            < Item5A TtlEmp = " 0 " />
            < Item5B Q5B1 = " 0 " Q5B2 = " 0 " Q5B3 = " 0 " Q5B4 = " 0 " Q5B5 = " 0 " Q5B6 = " 0 " />
            < Item5C Q5C1 = " 0 " Q5C2 = " 0 " />
            < Item5D Q5D1A = " 0 " Q5D1B = " 0 " Q5D1C = " 0 " Q5D1D = " 0 " Q5D1E = " 0 " Q5D1F = " 0 " Q5D1G = " 0 " Q5D1H = " 0 " Q5D1I = " 0 " Q5D1J = " 0
            " Q5D1K = " 0 " Q5D1L = " 0 " Q5D1M = " 0 " Q5D2A = " 0 " Q5D2B = " 0 " Q5D2C = " 0 " Q5D2D = " 0 " Q5D2E = " 0 " Q5D2F = " 0 " Q5D2G = " 0 "
            Q5D2H = " 0 " Q5D2I = " 0 " Q5D2J = " 0 " Q5D2K = " 0 " Q5D2L = " 0 " Q5D2M = " 0 " />
            < Item5E Q5E1 = " N " Q5E2 = " N " Q5E3 = " N " Q5E4 = " N " Q5E5 = " N " Q5E6 = " N " Q5E7 = " N " />
            < Item5F Q5F1 = " N " Q5F2A = " 0 " Q5F2B = " 0 " Q5F2C = " 0 " Q5F2D = " 0 " Q5F2E = " 0 " Q5F2F = " 0 " />
            < Item5G Q5G1 = " N " Q5G2 = " N " Q5G3 = " N " Q5G4 = " N " Q5G5 = " N " Q5G6 = " N " Q5G7 = " N " Q5G8 = " N " Q5G9 = " N " Q5G10 = " N " Q5G11
            = " N " Q5G12 = " N " Q5G12Oth = " X " />
            < Item5H Q5H = " 0 " />
            < Item5I Q5I1 = " N " Q5I2 = " N " />
            < Item5J Q5J = " N " />
            < Item6A Q6A1 = " N " Q6A2 = " N " Q6A3 = " N " Q6A4 = " N " Q6A5 = " N " Q6A6 = " N " Q6A7 = " N " Q6A8 = " N " Q6A9 = " N " Q6A10 = " N "
            Q6A11 = " N " Q6A12 = " N " Q6A13 = " N " Q6A14 = " N " />
            < Item6B Q6B1 = " N " Q6B2 = " N " Q6B3 = " N " />
            < Item7A Q7A1 = " N " Q7A2 = " N " Q7A3 = " N " Q7A4 = " N " Q7A5 = " N " Q7A6 = " N " Q7A7 = " N " Q7A8 = " N " Q7A9 = " N " Q7A10 = " N "
            Q7A11 = " N " Q7A12 = " N " Q7A13 = " N " Q7A14 = " N " Q7A15 = " N " Q7A16 = " N " />
            < Item7B Q7B = " N " />
            < Item8A Q8A1 = " N " Q8A2 = " N " Q8A3 = " N " />
            < Item8B Q8B1 = " N " Q8B2 = " N " Q8B3 = " N " />
            < Item8C Q8C1 = " N " Q8C2 = " N " Q8C3 = " N " Q8C4 = " N " />
            < Item8D Q8D = " N " />
            < Item8E Q8E = " N " />
            < Item8F Q8F = " N " />
            < Item8G Q8G1 = " N " Q8G2 = " N " />
            < Item8H Q8H = " N " />
            < Item8I Q8I = " N " />
            < Item9A Q9A1A = " N " Q9A1B = " N " />
            < Item9B Q9B1A = " N " Q9B1B = " N " />
            < Item9C Q9C1 = " N " Q9C2 = " N " Q9C3 = " N " Q9C4 = " N " />
            < Item9D Q9D1 = " N " Q9D2 = " N " />
            < Item9E Q9E = " 9999-01 " />
            < Item9F Q9F = " 0 " />
            < Item10A Q10A = " N " />
            < Item11 Q11 = " N " />
            < Item11A Q11A1 = " N " Q11A2 = " N " />
            < Item11B Q11B1 = " N " Q11B2 = " N " />
            < Item11C Q11C1 = " N " Q11C2 = " N " Q11C3 = " N " Q11C4 = " N " Q11C5 = " N " />
            < Item11D Q11D1 = " N " Q11D2 = " N " Q11D3 = " N " Q11D4 = " N " Q11D5 = " N " />
            < Item11E Q11E1 = " N " Q11E2 = " N " Q11E3 = " N " Q11E4 = " N " />
            < Item11F Q11F = " N " />
            < Item11G Q11G = " N " />
            < Item11H Q11H1A = " N " Q11H1B = " N " Q11H1C = " N " Q11H2 = " N " />
        </ Part1A >
        < Part1B >
```

```xml
                        < Item2 Q1B2B4 = " Y " />
                        < DsclrQstns Q1B2C = " N " Q1B2D = " N " Q1B2E1 = " N " Q1B2E2 = " N " Q1B2E3 = " N " Q1B2E4 = " N " Q1B2E5 = " N " Q1B2F1 = " N " Q1B2F2 = "
                        N " Q1B2F3 = " N " Q1B2F4 = " N " Q1B2F5 = " N " />
                        < ItemG Q1BG1IssueScrts = " N " Q1BG1PoolInvmt = " N " Q1BG1ReAdvsr = " N " Q1BG1TaxPrprr = " N " Q1BG1XcldPoolInvmt = " N " Q1B2G2 = " X
                        " />
                        < ItemH Q1B2HNScrtsNvsmt = " 0 " Q1B2HNScrtsNvsmtAm = " 0 " Q1B2HScrtsNvsmt = " 0 " Q1B2HScrtsNvsmtAm = " 0 " />
                        < ItemI Q1B2I1 = " Y " Q1B2I1A = " Y " Q1B2I1B = " Y " Q1B2I1C = " Y " Q1B2I3 = " N " Q1B2I2Ai = " N " Q1B2I2AiiOth = " N " Q1B2I2AiiAtrny = " N "
                        Q1B2I2AiiCpa = " N " Q1B2I2AiiOthTx = " x " Q1B2I2B = " N " />
                        < ItemJ Q1BJ1A = " N " Q1BJ1B = " N " Q1BJ2A = " N " Q1BJ2BCfp = " N " Q1BJ2BCfa = " N " Q1BJ2BChfc = " N " Q1BJ2BCic = " N " Q1BJ2BPfs = " N
                        " Q1BJ2BNone = " N " />
                        < ItemK Q1B2K1 = " 9999-01-01 " Q1B2K2 = " X " />
                  </ Part1B >
            </ FormInfo >
      </ Firm >
      < Firm >
            < Info FirmCrdNb = " 9999 " SECNb = " 999-999 " BusNm = " XXX " LegalNm = " XXX " />
            < MainAddr PhNb = " 999-999-9999 " FaxNb = " 999-999-9999 " />
            < MailingAddr />
            < StateRgstn >
                  < Rgltrs />
            </ StateRgstn >
            < ERA >
                  < Rgltrs >
                        < Rgltr Cd = " CA " St = " ACTIVE " Dt = " 9999-03-08 " />
                  </ Rgltrs >
            </ ERA >
            < Filing Dt = " 9999-03-08 " FormVrsn = " 11/9999 " />
            < FormInfo >
                  < Part1A >
                        < Item1 Q1I = " N " Q1M = " N " Q1N = " N " Q1O = " N " >
                              < WebAddrs >
                                    < WebAddr > WWW.XXX.COM </ WebAddr >
                              </ WebAddrs >
                        </ Item1 >
                        < Item3A OrgFormNm = " XXX " />
                        < Item3B Q3B = " DECEMBER " />
                        < Item3C StateCD = " CA " CntryNm = " XXX " />
                        < Item5A />
                        < Item5B />
                        < Item5C />
                        < Item5D />
                        < Item5E />
                        < Item5F />
                        < Item5G />
                        < Item5H />
                        < Item5I />
                        < Item5J />
                        < Item6A />
                        < Item6B Q6B1 = " N " Q6B3 = " N " />
                        < Item7A />
                        < Item7B Q7B = " N " />
                        < Item8A />
                        < Item8B />
                        < Item8C />
                        < Item8D />
                        < Item8E />
                        < Item8F />
                        < Item8G />
                        < Item8H />
                        < Item8I />
                        < Item9A />
                        < Item9B />
                        < Item9C />
                        < Item9D />
                        < Item9E />
                        < Item9F />
                        < Item10A Q10A = " N " />
                        < Item11 Q11 = " N " />
                        < Item11A Q11A1 = " N " Q11A2 = " N " />
                        < Item11B Q11B1 = " N " Q11B2 = " N " />
                        < Item11C Q11C1 = " N " Q11C2 = " N " Q11C3 = " N " Q11C4 = " N " Q11C5 = " N " />
                        < Item11D Q11D1 = " N " Q11D2 = " N " Q11D3 = " N " Q11D4 = " N " Q11D5 = " N " />
                        < Item11E Q11E1 = " N " Q11E2 = " N " Q11E3 = " N " Q11E4 = " N " />
                        < Item11F Q11F = " N " />
                        < Item11G Q11G = " N " />
                        < Item11H Q11H1A = " N " Q11H1B = " N " Q11H1C = " N " Q11H2 = " N " />
                  </ Part1A >
                  < Part1B >
                        < Item2 />
                        < DsclrQstns />
                        < ItemG />
                        < ItemH />
                        < ItemI />
                        < ItemJ />
                        < ItemK />
                  </ Part1B >
```

```
            </ FormInfo >
        </ Firm >
    </ Firms >
</ IAPDFirmStateReport >
```

```
            </ FormInfo >
        </ Firm >
    </ Firms >
</ IAPDFirmStateReport >
```

Schema Reference Legend

How to Read Schema Reference Pages

The following "Address Type" schema element is provided with annotations that explain the layout and content of the actual schema elements and types in the remainder of the *Schema Reference* sections of this document.

Complex Type:	**AddrType**
Schema Component Type	Schema Component Name

Super-types:	None
Sub-types:	l ItemAType (by extension)

If this schema component is a type definition, its type hierarchy is shown in a gray-bordered box.

Name	AddrType
Abstract	no

The table above displays the properties of this schema component.

XML Instance Representation

```
<...
  Strt1="Str50[0..1]"
  Strt2="Str50[0..1]"
  City="Str50[0..1]"
  State="StateCdType[0..1]"
  Cntry="Str50[0..1]"
  PostlCd="Str11[0..1]"
  PhNb="Str27[0..1]"
  FaxNb="Str27[0..1]" />
```

The XML Instance Representation table above shows the schema component's content as an XML instance.

l   The minimum and maximum occurrence of elements and attributes are provided in square brackets, e.g. [0..1].
l   Model group information are shown in gray.
l   For type derivations, the elements and attributes that have been added to or changed from the base type's content are shown in **bold**.
l   If an element/attribute has a fixed value, the fixed value is shown in green.
l   Otherwise, the type of the element/attribute is displayed.
    o   If the element/attribute's type is in the schema, a link is provided to it.
    o   For local simple type definitions, the constraints are displayed in angle brackets.

Schema Component Representation

```xml
<xsd:complexType name="AddrType">
   <xsd:attribute name="Strt1" type="Str50" use="optional"/>
   <xsd:attribute name="Strt2" type="Str50" use="optional"/>
   <xsd:attribute name="City" type="Str50" use="optional"/>
   <xsd:attribute name="State" type="StateCdType" use="optional"/>
   <xsd:attribute name="Cntry" type="Str50" use="optional"/>
   <xsd:attribute name="PostlCd" type="Str11" use="optional"/>
   <xsd:attribute name="PhNb" type="Str27" use="optional"/>
   <xsd:attribute name="FaxNb" type="Str27" use="optional"/>
</xsd:complexType>
```

The Schema Component Representation table above displays the underlying XML representation of the schema component. (Annotations are not shown.)

IAPD SEC Compilation Report Xml Schema Reference

Schema Properties

Documentation	 Version: Release 2017.09 (last updated on 7/1/2017)

Global Declarations

Element: **IAPDFirmSECReport**

Name	IAPDFirmSECReport
Type	IAPDFirmSECReportType
Nillable	no
Abstract	no
Documentation	The Compilation Report contains information for any firm that currently holds an approved-equivalent registration with the SEC, or currently hold an ERA-Active status with the SEC, and has filed a Form ADV.The question numbers correspond to Form ADV version 10/2017.

XML Instance Representation

```
<IAPDFirmSECReport
  <!-- This node contains the report generated date information. -->
GenOn="xsd:date[1]">
    <Firms> [1]
       <!-- This node contains the list of firms information. -->
       <Firm> SECFirmType </Firm> [1..*]
    </Firms>
</IAPDFirmSECReport>
```

Schema Component Representation

```
<xsd:element name="IAPDFirmSECReport" type="IAPDFirmSECReportType"/>
```

Table of Contents

Global Definitions

Complex Type: **AddrType**

Super-types:	None
Sub-types:	l ItemAType (by extension)

Name	AddrType
Abstract	no

XML Instance Representation

```
<...
 Strt1="Str50[0..1]"
 Strt2="Str50[0..1]"
 City="Str50[0..1]"
 State="StateCdType[0..1]"
 Cntry="Str50[0..1]"
 PostlCd="Str11[0..1]"
 PhNb="Str27[0..1]"
 FaxNb="Str27[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="AddrType">
    <xsd:attribute name="Strt1" type="Str50" use="optional"/>
    <xsd:attribute name="Strt2" type="Str50" use="optional"/>
    <xsd:attribute name="City" type="Str50" use="optional"/>
    <xsd:attribute name="State" type="StateCdType" use="optional"/>
    <xsd:attribute name="Cntry" type="Str50" use="optional"/>
    <xsd:attribute name="PostlCd" type="Str11" use="optional"/>
    <xsd:attribute name="PhNb" type="Str27" use="optional"/>
    <xsd:attribute name="FaxNb" type="Str27" use="optional"/>
</xsd:complexType>
```

Complex Type: FilingType

Super-types:	None
Sub-types:	None

Name	FilingType
Abstract	no

XML Instance Representation

```
<...
 <!-- This has the date the organization's most recent Form ADV filing was processed. -->
Dt="xsd:date[1]"
 <!-- This node has the version of the latest form ADV submitted. -->
FormVrsn="Str20[1]"/>
```

Schema Component Representation

```
<xsd:complexType name="FilingType">
    <xsd:attribute name="Dt" type="xsd:date" use="required"/>
    <xsd:attribute name="FormVrsn" type="Str20" use="required"/>
</xsd:complexType>
```

Complex Type: IAPDFirmSECReportType

Super-types:	None
Sub-types:	None

Name	IAPDFirmSECReportType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node contains the report generated date information. -->
GenOn="xsd:date[1]">
   <Firms> [1]
      <!-- This node contains the list of firms information. -->
      <Firm> SECFirmType </Firm> [1..*]
   </Firms>
</...>
```

Schema Component Representation

```
<xsd:complexType name="IAPDFirmSECReportType">
   <xsd:sequence>
      <xsd:element name="Firms" maxOccurs="1">
         <xsd:complexType>
            <xsd:sequence>
               <xsd:element name="Firm" type="SECFirmType" maxOccurs="unbounded"/>
            </xsd:sequence>
         </xsd:complexType>
      </xsd:element>
   </xsd:sequence>
   <xsd:attribute name="GenOn" type="xsd:date" use="required"/>
</xsd:complexType>
```

Complex Type: **Item10AType**

Super-types:	None
Sub-types:	None

Name	Item10AType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 10A -Does any person not named in Item 1.A. or Schedules A, B, or C,
directly or indirectly, control your management or policies (Y/N/null). -->
Q10A="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item10AType">
   <xsd:attribute name="Q10A" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: **Item11AType**

Super-types:	None
Sub-types:	None

Name	Item11AType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 11A(1)-been convicted of or plead guilty or nolo contendere ("no
contest") in a domestic, foreign, or military court to any felony (Y/N/null). -->
Q11A1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 11A(2)-been charged with any felony (Y/N/null). -->
Q11A2="answerYNType[0..1]"/>
```

Schema Component Representation

```xsd
<xsd:complexType name="Item11AType">
   <xsd:attribute name="Q11A1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q11A2" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item11BType

Super-types:	None
Sub-types:	None

Name	Item11BType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 11B(1)-been convicted of or plead guilty or nolo contendere ("no
contest") in a domestic, foreign, or military court to a misdemeanor involving: investments or an investment-related
business, or any fraud, false statements, or omissions, wrongful taking of property, bribery, perjury, forgery,
counterfeiting, extortion, or a conspiracy to commit any of these offenses (Y/N/null). -->
Q11B1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 11B(2)-been charged with a misdemeanor listed in 11.B(1) (Y/N/null).
-->
Q11B2="answerYNType[0..1]"/>
```

Schema Component Representation

```xsd
<xsd:complexType name="Item11BType">
   <xsd:attribute name="Q11B1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q11B2" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item11CType

Super-types:	None
Sub-types:	None

Name	Item11CType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 11C(1)-found you or any advisory affiliate to have made a false
statement or omission (Y/N/null). -->
Q11C1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 11C(2)-found you or any advisory affiliate to have been involved in a
violation of SEC or CFTC regulations or statutes (Y/N). -->
Q11C2="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 11C(3)-found you or any advisory affiliate to have been a cause of an
investment-related business having its authorization to do business denied, suspended, revoked, or restricted
(Y/N/null). -->
Q11C3="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 11C(4)-entered an order against you or any advisory affiliate in
connection with investment-related activity (Y/N/null). -->
Q11C4="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 11C(5)-imposed a civil money penalty on you or any advisory
affiliate, or ordered you or any advisory affiliate to cease and desist from any activity (Y/N/null). -->
Q11C5="answerYNType[0..1]"/>
```

Schema Component Representation

```xsd
<xsd:complexType name="Item11CType">
   <xsd:attribute name="Q11C1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q11C2" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q11C3" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q11C4" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q11C5" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item11DType

Super-types:	None
Sub-types:	None

Name	Item11DType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 11D(1)-ever found you or any advisory affiliate to have made a false
statement or omission, or been dishonest, unfair, or unethical (Y/N/null). -->
Q11D1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 11D(2)-ever found you or any advisory affiliate to have been involved
in a violation of investment-related regulations or statutes (Y/N/null). -->
Q11D2="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 11D(3)-ever found you or any advisory affiliate to have been a cause
of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted
(Y/N/null). -->
Q11D3="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 11D(4)-in the past ten years, entered an order against you or any
advisory affiliate in connection with an investment-related activity (Y/N/null). -->
Q11D4="answerYNType[0..1]"
 <!-- This node has Firm's response to Item 11D(5)-ever denied, suspended, or revoked your or any advisory affiliate's
registration or license, or otherwise prevented you or any advisory affiliate, by order, from associating with an
investment-related business or restricted your or any advisory affiliate's activity (Y/N/null). -->
Q11D5="answerYNType[0..1]"/>
```

Schema Component Representation

```xsd
<xsd:complexType name="Item11DType">
   <xsd:attribute name="Q11D1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q11D2" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q11D3" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q11D4" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q11D5" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item11EType

Super-types:	None
Sub-types:	None

Name	Item11EType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 11E(1)-found you or any advisory affiliate to have made a false
statement or omission (Y/N/null). -->
Q11E1="answerYNType[0..1]"

 <!-- This node has Firm's response to Item 11E(2)-found you or any advisory affiliate to have been involved in a
violation of its rules (other than a violation designated as a "minor rule violation" under a plan approved by the SEC)
(Y/N/null). -->
Q11E2="answerYNType[0..1]"

 <!-- This node has Firm's response to Part1A Item 11E(3)-found you or any advisory affiliate to have been the cause of
an investment-related business having its authorization to do business denied, suspended, revoked, or restricted
(Y/N/null). -->
Q11E3="answerYNType[0..1]"

 <!-- This node has Firm's response to Part1A Item 11E(4)-disciplined you or any advisory affiliate by expelling or
suspending you or the advisory affiliate from membership, barring or suspending you or the advisory affiliate from
association with other members, or otherwise restricting your or the advisory affiliate's activities (Y/N/null). -->
Q11E4="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item11EType">
   <xsd:attribute name="Q11E1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q11E2" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q11E3" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q11E4" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item11FType

Super-types:	None
Sub-types:	None

Name	Item11FType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 11F-Has an authorization to act as an attorney, accountant, or
federal contractor granted to you or any advisory affiliate ever been revoked or suspended (Y/N/null). -->
Q11F="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item11FType">
   <xsd:attribute name="Q11F" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item11GType

Super-types:	None
Sub-types:	None

Name	Item11GType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 11G-Are you or any advisory affiliate now the subject of any
regulatory proceeding that could result in a "yes" answer to any part of Item 11.C., 11.D., or 11.E. (Y/N/null). -->
Q11G="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item11GType">
   <xsd:attribute name="Q11G" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item11HType

Super-types:	None
Sub-types:	None

Name	Item11HType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 11H(1)(a)-the past ten years, enjoined you or any advisory affiliate
in connection with any investment-related activity (Y/N/null). -->
Q11H1A="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 11H(1)(b)-ever found that you or any advisory affiliate were involved
in a violation of investment-related statutes or regulations (Y/N/null). -->
Q11H1B="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 11H(1)(c)-ever dismissed, pursuant to a settlement agreement, an
investment-related civil action brought against you or any advisory affiliate by a state or foreign financial regulatory
authority (Y/N/null). -->
Q11H1C="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 11H(2)-Are you or any advisory affiliate now the subject of any civil
proceeding that could result in a "yes" answer to any part of Item 11.H(1) (Y/N/null). -->
Q11H2="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item11HType">
   <xsd:attribute name="Q11H1A" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q11H1B" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q11H1C" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q11H2" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item11Type

Super-types:	None
Sub-types:	None

Name	Item11Type
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 11-Do any of the events below involve you or any of your supervised
persons (Y/N/null). -->
Q11="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item11Type">
   <xsd:attribute name="Q11" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item1Type

Super-types:	None
Sub-types:	None

Name	Item1Type
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 1F5- Total number of offices, other than your Principal Office and
place of business.
-->
Q1F5="Int5[0..1]"

 <!-- This node has Firm's response to Part1A Item 1I-Do you have one or more websites (Y/N/null). -->
Q1I="answerYNType[0..1]"

 <!-- This node has Firm's response to Part1A Item 1M -Are you registered with a foreign financial regulatory authority
(Y/N/null). -->
Q1M="answerYNType[0..1]"

 <!-- This node has Firm's response to Part1A Item 1N-Are you a public reporting company under Sections 12 or 15(d) of
the Securities Exchange Act of 1934 (Y/N/null). -->
Q1N="answerYNType[0..1]"

 <!-- This node has Firm's response to Part1A Item 1O-Did you have $1 billion or more in assets on the last day of your
most recent fiscal year. -->
Q1O="answerYNType[0..1]"

 <!-- This node has Firm's response to Part1A Item 1O-If yes, approx. amount of assets.
-->
Q1ODesc="Str128[0..1]"

 <!-- This node has Firm's response to Part1A Item 1P- Legal Entity Identifier. -->
Q1P="Str20[0..1]">

   <!-- This node has Firm's response to Schedule D Section 1I Website Address-include all if there are multiple
   reported. -->
   <WebAddrs> [1]
      <WebAddr> Str128 </WebAddr> [0..*]
   </WebAddrs>
</...>
```

Schema Component Representation

```
<xsd:complexType name="Item1Type">
   <xsd:sequence>
      <xsd:element name="WebAddrs" maxOccurs="1">
         <xsd:complexType>
            <xsd:sequence>
               <xsd:element name="WebAddr" type="Str128" minOccurs="0" maxOccurs="unbounded"/>
            </xsd:sequence>
         </xsd:complexType>
      </xsd:element>
   </xsd:sequence>
   <xsd:attribute name="Q1F5" type="Int5" use="optional"/>
   <xsd:attribute name="Q1I" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q1M" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q1N" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q1O" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q1ODesc" type="Str128" use="optional"/>
   <xsd:attribute name="Q1P" type="Str20" use="optional"/>
</xsd:complexType>
```

Complex Type: Item2AType

Super-types:	None
Sub-types:	None

Name	Item2AType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 2A(1)- are a large advisory firm that either:
      (a) has regulatory assets under management of $100 million (in U.S. dollars) or more, or
      (b) is SEC-registered and is submitting an annual updating amendment and has regulatory assets under management of
$90 million (in U.S. dollars) or more (Y/N) Display a 'Y' when the checkbox is selected.
      Display an 'N' when the checkbox is not selected. -->
Q2A1="answerYNType[0..1]"

 <!-- This node has Firm's response to Part1A Item 2A(2)-are a mid-sized advisory firm that has regulatory assets under
management of $25 million (in U.S. dollars) or more but less than $100 million (in U.S. dollars) and you are either:
      (a) not required to be registered as an adviser with the state securities authority of the state where you
maintain your principal office and place of business, or
      (b) not subject to examination by the state securities authority of the state where you maintain your principal
office and place of business (Y/N) Display a 'Y' when the checkbox is selected.
      Display an 'N' when the checkbox is not selected. -->
Q2A2="answerYNType[0..1]"

 <!-- This node has Firm's response to Part1A Item 2A(4)-have your principal office and place of business outside the
United States (Y/N) Display a 'Y' when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q2A4="answerYNType[0..1]"

 <!-- This node has Firm's response to Part1A Item 2A(5)-are an investment adviser (or sub-adviser) to an investment
company registered under the Investment Company Act of 1940 (Y/N) Display a 'Y' when the checkbox is selected. Display
an 'N' when the checkbox is not selected. -->
Q2A5="answerYNType[0..1]"

 <!-- This node has Firm's response to Part1A Item 2A(6)-are an investment adviser to a company which has elected to be
a business development company pursuant to section 54 of the Investment Company Act of 1940 and has not withdrawn the
election, and you have at least $25 million of regulatory assets under management (Y/N). -->
Q2A6="answerYNType[0..1]"

 <!-- This node has Firm's response to Part1A Item 2A(7)-are a pension consultant with respect to assets of plans having
an aggregate value of at least $200,000,000 that qualifies for the exemption in rule 203A-2 (Y/N) Display a 'Y' when the
checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q2A7="answerYNType[0..1]"

 <!-- This node has Firm's response to Part1A Item 2A(8)-are a related adviser under rule 203A-2(b) that controls, is
controlled by, or is under common control with, an investment adviser that is registered with the SEC, and your
principal office and place of business is the same as the registered adviser (Y/N) Display a 'Y' when the checkbox is
selected. Display an 'N' when the checkbox is not selected. -->
Q2A8="answerYNType[0..1]"

 <!-- This node has Firm's response to Part1A Item 2A(9)-are a newly formed adviser relying on rule 203A-2(c) because
you expect to be eligible for SEC registration within 120 days (Y/N) Display a 'Y' when the checkbox is selected.
Display an 'N' when the checkbox is not selected. -->
Q2A9="answerYNType[0..1]"

 <!-- This node has Firm's response to Part1A Item 2A(10) are a multi-state adviser that is required to register in 15
or more states and is relying on rule 203A-2(d) (Y/N) Display a 'Y' when the checkbox is selected. Display an 'N' when
the checkbox is not selected. -->
Q2A10="answerYNType[0..1]"

 <!-- This node has Firm's response to Part1A Item 2A(11)-are an Internet adviser relying on rule 203A-2(e) (Y/N)
Display a 'Y' when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q2A11="answerYNType[0..1]"

 <!-- This node has Firm's response to Part1A Item 2A(12)-have received an SEC order exempting you from the prohibition
against registration with the SEC (Y/N) Display a 'Y' when the checkbox is selected. Display an 'N' when the checkbox is
not selected. -->
Q2A12="answerYNType[0..1]"

 <!-- This node has Firm's response to Part1A Item 2A(13)-are no longer eligible to remain registered with the SEC (Y/N)
Display a 'Y' when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q2A13="answerYNType[0..1]"/>
```

Schema Component Representation

```xml
<xsd:complexType name="Item2AType">
   <xsd:attribute name="Q2A1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q2A2" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q2A4" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q2A5" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q2A6" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q2A7" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q2A8" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q2A9" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q2A10" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q2A11" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q2A12" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q2A13" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item2BType

Super-types:	None
Sub-types:	None

Name	Item2BType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 2B(1)-qualify for the exemption from registration as an adviser
solely to one or more venture capital funds (Y/N). -->
Q2B1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 2B(2)-qualify for the exemption from registration because you act
solely as an adviser to private funds and have assets under management in the United States of less than $150 million
(Y/N). -->
Q2B2="answerYNType[0..1]"
 <!-- This node has Firm's response to Item to Part1A 2B(3)-act solely as an adviser to private funds but you are no
longer eligible to check box 2.B.(2) because you have assets under management in the United States of $150 million or
more (Y/N). -->
Q2B3="answerYNType[0..1]"/>
```

Schema Component Representation

```xml
<xsd:complexType name="Item2BType">
   <xsd:attribute name="Q2B1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q2B2" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q2B3" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item3AType

Super-types:	None
Sub-types:	None

Name	Item3AType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 3A-How are you organized (Description). -->
OrgFormNm="Str128[1]"
 <!-- This node has Firm's response to Part1A Item 3A Other textbox-How are you organized Other (specify). -->
OrgFormOthNm="Str50[0..1]"/>
```

Schema Component Representation

```xsd
<xsd:complexType name="Item3AType">
   <xsd:attribute name="OrgFormNm" type="Str128" use="required"/>
   <xsd:attribute name="OrgFormOthNm" type="Str50" use="optional"/>
</xsd:complexType>
```

Complex Type: **Item3BType**

Super-types:	None
Sub-types:	None

Name	Item3BType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part 1A Item 3B-In what month does your fiscal year end each year?. -->
Q3B="Str128[0..1]"/>
```

Schema Component Representation

```xsd
<xsd:complexType name="Item3BType">
   <xsd:attribute name="Q3B" type="Str128" use="optional"/>
</xsd:complexType>
```

Complex Type: **Item3CType**

Super-types:	None
Sub-types:	None

Name	Item3CType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 3C-State Drop-down-Under the laws of what state or country are you organized (Code). -->
StateCD="StateCdType[0..1]"
 <!-- This node has Firm's response to Part1A Item 3C-Country Drop-down-Under the laws of what state or country are you organized. -->
CntryNm="Str50[0..1]"/>
```

Schema Component Representation

```xsd
<xsd:complexType name="Item3CType">
   <xsd:attribute name="StateCD" type="StateCdType" use="optional"/>
   <xsd:attribute name="CntryNm" type="Str50" use="optional"/>
</xsd:complexType>
```

Complex Type: **Item5AType**

Super-types:	None
Sub-types:	None

Name	Item5AType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 5A-Approximately how many employees do you have. -->
TtlEmp="Int10[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item5AType">
   <xsd:attribute name="TtlEmp" type="Int10" use="optional"/>
</xsd:complexType>
```

Complex Type: Item5BType

Super-types:	None
Sub-types:	None

Name	Item5BType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 5B(1)-Approximately how many of the employees reported in 5.A.
perform investment advisory functions (including research). -->
Q5B1="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5B(2)-Approximately how many of the employees reported in 5.A. are
registered representatives of a broker-dealer. -->
Q5B2="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5B(3)-Approximately how many of the employees reported in 5.A. are
registered with one or more state securities authorities as investment adviser representatives. -->
Q5B3="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5B(4)-Approximately how many of the employees reported in 5.A. are
registered with one or more state securities authorities as investment adviser representatives for an investment adviser
other than you. -->
Q5B4="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5B(5)-Approximately how many of the employees reported in 5.A. are
licensed agents of an insurance company or agency. -->
Q5B5="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5B(6)-Approximately how many firms or other persons solicit advisory
clients on your behalf. -->
Q5B6="Int10[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item5BType">
   <xsd:attribute name="Q5B1" type="Int10" use="optional"/>
   <xsd:attribute name="Q5B2" type="Int10" use="optional"/>
   <xsd:attribute name="Q5B3" type="Int10" use="optional"/>
   <xsd:attribute name="Q5B4" type="Int10" use="optional"/>
   <xsd:attribute name="Q5B5" type="Int10" use="optional"/>
   <xsd:attribute name="Q5B6" type="Int10" use="optional"/>
</xsd:complexType>
```

Complex Type: Item5CType

Super-types:	None
Sub-types:	None

Name	Item5CType

Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 5C(1)-To approximately how many clients did you provide investment
 advisory services during your most recently completed fiscal year. -->
 Q5C1="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5C(1)-If more than 100, how many (round to the nearest 100). -->
 Q5C1Oth="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5C(2)-Approximately what percentage of your clients are non-United
 States persons. -->
 Q5C2="Int3[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item5CType">
   <xsd:attribute name="Q5C1" type="Str128" use="optional"/>
   <xsd:attribute name="Q5C1Oth" type="Int10" use="optional"/>
   <xsd:attribute name="Q5C2" type="Int3" use="optional"/>
</xsd:complexType>
```

Complex Type: Item5DType

Super-types:	None
Sub-types:	None

Name	Item5DType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 5D(1)(a)-Individuals (other than high net worth individuals) in
 10/2012 version -->
 Q5D1A="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(b)-High net worth individualsin 10/2012 version -->
 Q5D1B="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(c)-Banking or thrift institutions in 10/2012 version -->
 Q5D1C="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(d)-Investment companies in 10/2012 version -->
 Q5D1D="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(e)-Business development companies in 10/2012 version -->
 Q5D1E="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(f)-Pooled investment vehicles (other than investment companies)
 in 10/2012 version -->
 Q5D1F="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(g)-Pension and profit sharing plans (but not the plan
 participants) in 10/2012 version -->
 Q5D1G="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(h)-Charitable organizations in 10/2012 version -->
 Q5D1H="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(i)-Corporations or other businesses not listed above in 10/2012
 version -->
 Q5D1I="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(j)-State or municipal government entities in 10/2012 version --
 >
 Q5D1J="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(k)-Other investment advisers in 10/2012 version -->
 Q5D1K="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(l)-Insurance companies in 10/2012 version -->
 Q5D1L="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(m)-Other in 10/2012 version -->
 Q5D1M="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(m)-Other textbox in 10/2012 version -->
```

```
Q5D1MOth="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(2)(a)-Individuals (other than high net worth individuals) in
10/2012 version -->
Q5D2A="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(2)(b)-High net worth individuals in 10/2012 version -->
Q5D2B="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(2)(c)-Banking or thrift institutions in 10/2012 version -->
Q5D2C="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(2)(d)-Investment companies in 10/2012 version -->
Q5D2D="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(2)(e)-Business development companies in 10/2012 version -->
Q5D2E="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(2)(f)-Pooled investment vehicles (other than investment companies)
in 10/2012 version -->
Q5D2F="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(2)(g)-Pension and profit sharing plans (but not the plan
participants) in 10/2012 version -->
Q5D2G="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(2)(h)-Charitable organizations in 10/2012 version -->
Q5D2H="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(2)(i)-Corporations or other businesses not listed above in 10/2012
version -->
Q5D2I="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(2)(j)-State or municipal government entities in 10/2012 version --
>
Q5D2J="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(2)(k)-Other investment advisers in 10/2012 version -->
Q5D2K="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(2)(l)-Insurance companies in 10/2012 version -->
Q5D2L="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(2)(m)-Other in 10/2012 version -->
Q5D2M="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(2)(m)-Other textbox in 10/2012 version -->
Q5D2MOth="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(a)(1)- Number of clients -Individuals (other than high net worth
individuals)
-->
Q5DA1="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(a)(2)- Fewer than 5 clients -Individuals (other than high net
worth individuals)
-->
Q5DA2="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(a)(3)- Regulatory Assets under Management -Individuals (other
than high net worth individuals)
-->
Q5DA3="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(b)(1)- Number of clients -Individuals high net worth individuals
-->
Q5DB1="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(b)(2)- Fewer than 5 clients - high net worth individuals
-->
Q5DB2="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(b)(3)- Regulatory Assets under Management -Individuals high net
worth individuals
-->
Q5DB3="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(c)(1)-Banking or thrift institutions
-->
Q5DC1="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(c)(2)-Banking or thrift institutions
-->
Q5DC2="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(c)(3)-Banking or thrift institutions
-->
Q5DC3="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(d)(1)- Investment companies
-->
Q5DD1="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(d)(3)- Investment companies
-->
Q5DD3="Decimal17P2[0..1]"
```

```xml
 <!-- This node has Firm's response to Part1A Item 5D(e)(1)- Business development companies
 -->
Q5DE1="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(e)(3)- Business development companies
 -->
Q5DE3="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(f)(1)- Pooled investment vehicles (other than investment companies
and Business development companies)
 -->
Q5DF1="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(f)(3)- Pooled investment vehicles (other than investment companies
and Business development companies)
 -->
Q5DF3="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(g)(1)- Pension and profit sharing plans (but not the plan
participants)
 -->
Q5DG1="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(g)(2)- Pension and profit sharing plans (but not the plan
participants)
 -->
Q5DG2="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(g)(3)- Pension and profit sharing plans (but not the plan
participants)
 -->
Q5DG3="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(h)(1)- Charitable organizations
 -->
Q5DH1="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(h)(2)- Charitable organizations
 -->
Q5DH2="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(h)(3)- Charitable organizations
 -->
Q5DH3="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(i)(1)- State or municipal government entities (including
government pension plans)
 -->
Q5DI1="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(i)(2)- State or municipal government entities (including
government pension plans)
 -->
Q5DI2="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(i)(3)- State or municipal government entities (including
government pension plans)
 -->
Q5DI3="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(j)(1)- Other investment advisers
 -->
Q5DJ1="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(j)(2)- Other investment advisers
 -->
Q5DJ2="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(j)(3)- Other investment advisers
 -->
Q5DJ3="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(k)(1)- Insurance companies
 -->
Q5DK1="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(k)(2)- Insurance companies
 -->
Q5DK2="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(k)(3)- Insurance companies
 -->
Q5DK3="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(l)(1)- Sovereign wealth funds and foreign official institutions
 -->
Q5DL1="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(l)(2)- Sovereign wealth funds and foreign official institutions
 -->
Q5DL2="Str128[0..1]"
```

```xml
<!-- This node has Firm's response to Part1A Item 5D(l)(3)- Sovereign wealth funds and foreign official institutions
-->
Q5DL3="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(m)(1)- Corporations or other businesses not listed above
-->
Q5DM1="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(m)(2)- Corporations or other businesses not listed above
-->
Q5DM2="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(m)(3)- Corporations or other businesses not listed above
-->
Q5DM3="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(n)(1)- Other
-->
Q5DN1="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(n)(2)- Other
-->
Q5DN2="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(n)(3)- Other
-->
Q5DN3="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(n)(3)- Other text box
-->
Q5DN3Oth="Str128[0..1]"/>
```

Schema Component Representation

```xsd
<xsd:complexType name="Item5DType">
  <xsd:attribute name="Q5D1A" type="Str128" use="optional"/>
  <xsd:attribute name="Q5D1B" type="Str128" use="optional"/>
  <xsd:attribute name="Q5D1C" type="Str128" use="optional"/>
  <xsd:attribute name="Q5D1D" type="Str128" use="optional"/>
  <xsd:attribute name="Q5D1E" type="Str128" use="optional"/>
  <xsd:attribute name="Q5D1F" type="Str128" use="optional"/>
  <xsd:attribute name="Q5D1G" type="Str128" use="optional"/>
  <xsd:attribute name="Q5D1H" type="Str128" use="optional"/>
  <xsd:attribute name="Q5D1I" type="Str128" use="optional"/>
  <xsd:attribute name="Q5D1J" type="Str128" use="optional"/>
  <xsd:attribute name="Q5D1K" type="Str128" use="optional"/>
  <xsd:attribute name="Q5D1L" type="Str128" use="optional"/>
  <xsd:attribute name="Q5D1M" type="Str128" use="optional"/>
  <xsd:attribute name="Q5D1MOth" type="Str128" use="optional"/>
  <xsd:attribute name="Q5D2A" type="Str128" use="optional"/>
  <xsd:attribute name="Q5D2B" type="Str128" use="optional"/>
  <xsd:attribute name="Q5D2C" type="Str128" use="optional"/>
  <xsd:attribute name="Q5D2D" type="Str128" use="optional"/>
  <xsd:attribute name="Q5D2E" type="Str128" use="optional"/>
  <xsd:attribute name="Q5D2F" type="Str128" use="optional"/>
  <xsd:attribute name="Q5D2G" type="Str128" use="optional"/>
  <xsd:attribute name="Q5D2H" type="Str128" use="optional"/>
  <xsd:attribute name="Q5D2I" type="Str128" use="optional"/>
  <xsd:attribute name="Q5D2J" type="Str128" use="optional"/>
  <xsd:attribute name="Q5D2K" type="Str128" use="optional"/>
  <xsd:attribute name="Q5D2L" type="Str128" use="optional"/>
  <xsd:attribute name="Q5D2M" type="Str128" use="optional"/>
  <xsd:attribute name="Q5D2MOth" type="Str128" use="optional"/>
  <xsd:attribute name="Q5DA1" type="Int10" use="optional"/>
  <xsd:attribute name="Q5DA2" type="Str128" use="optional"/>
  <xsd:attribute name="Q5DA3" type="Decimal17P2" use="optional"/>
  <xsd:attribute name="Q5DB1" type="Int10" use="optional"/>
  <xsd:attribute name="Q5DB2" type="Str128" use="optional"/>
  <xsd:attribute name="Q5DB3" type="Decimal17P2" use="optional"/>
  <xsd:attribute name="Q5DC1" type="Int10" use="optional"/>
  <xsd:attribute name="Q5DC2" type="Str128" use="optional"/>
  <xsd:attribute name="Q5DC3" type="Decimal17P2" use="optional"/>
  <xsd:attribute name="Q5DD1" type="Int10" use="optional"/>
  <xsd:attribute name="Q5DD3" type="Decimal17P2" use="optional"/>
  <xsd:attribute name="Q5DE1" type="Int10" use="optional"/>
  <xsd:attribute name="Q5DE3" type="Decimal17P2" use="optional"/>
  <xsd:attribute name="Q5DF1" type="Int10" use="optional"/>
  <xsd:attribute name="Q5DF3" type="Decimal17P2" use="optional"/>
  <xsd:attribute name="Q5DG1" type="Int10" use="optional"/>
  <xsd:attribute name="Q5DG2" type="Str128" use="optional"/>
  <xsd:attribute name="Q5DG3" type="Decimal17P2" use="optional"/>
  <xsd:attribute name="Q5DH1" type="Int10" use="optional"/>
  <xsd:attribute name="Q5DH2" type="Str128" use="optional"/>
  <xsd:attribute name="Q5DH3" type="Decimal17P2" use="optional"/>
  <xsd:attribute name="Q5DI1" type="Int10" use="optional"/>
  <xsd:attribute name="Q5DI2" type="Str128" use="optional"/>
  <xsd:attribute name="Q5DI3" type="Decimal17P2" use="optional"/>
  <xsd:attribute name="Q5DJ1" type="Int10" use="optional"/>
  <xsd:attribute name="Q5DJ2" type="Str128" use="optional"/>
  <xsd:attribute name="Q5DJ3" type="Decimal17P2" use="optional"/>
  <xsd:attribute name="Q5DK1" type="Int10" use="optional"/>
  <xsd:attribute name="Q5DK2" type="Str128" use="optional"/>
  <xsd:attribute name="Q5DK3" type="Decimal17P2" use="optional"/>
  <xsd:attribute name="Q5DL1" type="Int10" use="optional"/>
  <xsd:attribute name="Q5DL2" type="Str128" use="optional"/>
  <xsd:attribute name="Q5DL3" type="Decimal17P2" use="optional"/>
  <xsd:attribute name="Q5DM1" type="Int10" use="optional"/>
  <xsd:attribute name="Q5DM2" type="Str128" use="optional"/>
  <xsd:attribute name="Q5DM3" type="Decimal17P2" use="optional"/>
  <xsd:attribute name="Q5DN1" type="Int10" use="optional"/>
  <xsd:attribute name="Q5DN2" type="Str128" use="optional"/>
  <xsd:attribute name="Q5DN3" type="Decimal17P2" use="optional"/>
  <xsd:attribute name="Q5DN3Oth" type="Str128" use="optional"/>
</xsd:complexType>
```

Complex Type: Item5EType

Super-types:	None
Sub-types:	None

Name	Item5EType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 5E(1)-A percentage of assets under your management (Y/N) Display a
'Y' when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q5E1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5E(2)-Hourly charges (Y/N) Display a 'Y' when the checkbox is
selected. Display an 'N' when the checkbox is not selected. -->
Q5E2="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5E(3)-Subscription fees (for a newsletter or periodical) (Y/N)
Display a 'Y' when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q5E3="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5E(4)-Fixed fees (other than subscription fees) (Y/N) Display a 'Y'
when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q5E4="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5E(5)-Commissions (Y/N) Display a 'Y' when the checkbox is selected.
Display an 'N' when the checkbox is not selected. -->
Q5E5="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5E(6)-Performance-based fees (Y/N) Display a 'Y' when the checkbox is
selected. Display an 'N' when the checkbox is not selected. -->
Q5E6="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5E(7)-Other (Y/N) Display a 'Y' when the checkbox is selected.
Display an 'N' when the checkbox is not selected. -->
Q5E7="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5E(7)-Other (specify). -->
Q5E7Oth="Str64[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item5EType">
   <xsd:attribute name="Q5E1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q5E2" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q5E3" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q5E4" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q5E5" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q5E6" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q5E7" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q5E7Oth" type="Str64" use="optional"/>
</xsd:complexType>
```

Complex Type: Item5FType

Super-types:	None
Sub-types:	None

Name	Item5FType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 5F(1)-Do you provide continuous and regular supervisory or management
services to securities portfolios (Y/N/null). -->
Q5F1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5F2a-Discretionary U.S. Dollar Amount. -->
Q5F2A="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5F2b-Non-Discretionary U. S. Dollar Amount. -->
Q5F2B="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5F2c-Total U.S. Dollar Amount. -->
Q5F2C="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5F2d-Discretionary Total Number of Accounts. -->
Q5F2D="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5F2e-Non-Discretionary Total Number of Accounts. -->
Q5F2E="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5F2f-Total Number of Accounts. -->
Q5F2F="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5F(3)- Approximate amount of total regulatory assets under management
(reported in Item 5.F.(2)(c) ) attributable to clients who are non-United States persons
-->
Q5F3="Decimal17P2[0..1]"/>
```

Schema Component Representation

```xsd
<xsd:complexType name="Item5FType">
   <xsd:attribute name="Q5F1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q5F2A" type="Decimal17P2" use="optional"/>
   <xsd:attribute name="Q5F2B" type="Decimal17P2" use="optional"/>
   <xsd:attribute name="Q5F2C" type="Decimal17P2" use="optional"/>
   <xsd:attribute name="Q5F2D" type="Int10" use="optional"/>
   <xsd:attribute name="Q5F2E" type="Int10" use="optional"/>
   <xsd:attribute name="Q5F2F" type="Int10" use="optional"/>
   <xsd:attribute name="Q5F3" type="Decimal17P2" use="optional"/>
</xsd:complexType>
```

Complex Type: Item5GType

Super-types:	None
Sub-types:	None

Name	Item5GType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 5G(1)-Financial planning services (Y/N) Display a 'Y' when the
checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q5G1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5G(2)-Portfolio management for individuals and/or small businesses
(Y/N) Display a 'Y' when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q5G2="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5G(3)-Portfolio management for investment companies (Y/N) Display a
'Y' when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q5G3="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5G(4)-Portfolio management for pooled investment vehicles (other than
investment companies) (Y/N) Display a 'Y' when the checkbox is selected. Display an 'N' when the checkbox is not
selected. -->
Q5G4="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5G(5)-Portfolio management for businesses (other than small
businesses) or institutional clients (other than registered investment companies and other pooled investment vehicles
and) (Y/N) Display a 'Y' when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q5G5="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5G(6)-Pension consulting services (Y/N) Display a 'Y' when the
checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q5G6="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5G(7)-Selection of other advisers (Y/N) Display a 'Y' when the
checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q5G7="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5G(8)-Publication of periodicals or newsletters (Y/N) Display a 'Y'
when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q5G8="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5G(9)-Security ratings or pricing services (Y/N) Display a 'Y' when
the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q5G9="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5G(10)-Market timing services (Y/N) Display a 'Y' when the checkbox
is selected. Display an 'N' when the checkbox is not selected. -->
Q5G10="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5G(11)-Educational seminars/workshops (Y/N) Display a 'Y' when the
checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q5G11="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5G(12)-Other (Y/N) Display a 'Y' when the checkbox is selected.
Display an 'N' when the checkbox is not selected. -->
Q5G12="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5G(12) Other (specify). -->
Q5G12Oth="Str128[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item5GType">
   <xsd:attribute name="Q5G1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q5G2" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q5G3" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q5G4" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q5G5" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q5G6" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q5G7" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q5G8" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q5G9" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q5G10" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q5G11" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q5G12" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q5G12Oth" type="Str128" use="optional"/>
</xsd:complexType>
```

Complex Type: Item5HType

Super-types:	None
Sub-types:	None

Name	
Item5HType	

Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 5H-If you provide financial planning services, to how many clients
did you provide these services during your last fiscal year. -->
Q5H="Str128[0..1]"

 <!-- This node has Firm's response to Part1A Item 5H-If more than 500, how many (round to the nearest 500). -->
Q5HMT500="Int10[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item5HType">
   <xsd:attribute name="Q5H" type="Str128" use="optional"/>
   <xsd:attribute name="Q5HMT500" type="Int10" use="optional"/>
</xsd:complexType>
```

Complex Type: Item5IType

Super-types:	None
Sub-types:	None

Name	Item5IType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 5I(1)-sponsor the wrap fee program (Y/N) Display a 'Y' when the
checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q5I1="answerYNType[0..1]"

 <!-- This node has Firm's response to Part1A Item 5I(2)(a) - amount of your regulatory assets under management
attributable to acting as sponsor to a wrap fee program
-->
Q5I2A="Decimal17P2[0..1]"

 <!-- This node has Firm's response to Part1A Item 5I(2)(b) - amount of your regulatory assets under management
attributable to acting as portfolio manager for a wrap fee program
-->
Q5I2B="Decimal17P2[0..1]"

 <!-- This node has Firm's response to Part1A Item 5I(2)(c) - amount of your regulatory assets under management
attributable to acting as sponsor to and portfolio manager for the same wrap fee program
-->
Q5I2C="Decimal17P2[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item5IType">
   <xsd:attribute name="Q5I1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q5I2A" type="Decimal17P2" use="optional"/>
   <xsd:attribute name="Q5I2B" type="Decimal17P2" use="optional"/>
   <xsd:attribute name="Q5I2C" type="Decimal17P2" use="optional"/>
</xsd:complexType>
```

Complex Type: Item5JType

Super-types:	None
Sub-types:	None

Name	Item5JType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 5J-In response to Item 4.B. of Part 2A of Form ADV, do you indicate
that you provide investment advice only with respect to limited types of investments (Y/N/null). -->
Q5J1="answerYNType[0..1]"

 <!-- This node has Firm's response to Part1A Item 5J(2)- Do you report client assets in Item 4.E. of Part 2A that are
computed using a different method than the method used to compute your regulatory assets under management? (Y/N/null)
-->
Q5J2="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item5JType">
   <xsd:attribute name="Q5J1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q5J2" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item6AType

Super-types:	None
Sub-types:	None

Name	Item6AType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 6A(1)- broker-dealer (registered or unregistered) (Y/N) Display a 'Y'
when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q6A1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6A(2)-registered representative of a broker-dealer (Y/N) Display a
'Y' when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q6A2="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6A(3)- commodity pool operator or commodity trading advisor (whether
registered or exempt from registration) (Y/N) Display a 'Y' when the checkbox is selected. Display an 'N' when the
checkbox is not selected. -->
Q6A3="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6A(4)-futures commission merchant (Y/N) Display a 'Y' when the
checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q6A4="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6A(5)-real estate broker, dealer, or agent (Y/N) Display a 'Y' when
the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q6A5="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6A(6)-insurance broker or agent (Y/N) Display a 'Y' when the checkbox
is selected. Display an 'N' when the checkbox is not selected. -->
Q6A6="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6A(7)-bank (including a separately identifiable department or
division of a bank) (Y/N) Display a 'Y' when the checkbox is selected. Display an 'N' when the checkbox is not selected.
-->
Q6A7="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6A(8)-trust company (Y/N) Display a 'Y' when the checkbox is
selected. Display an 'N' when the checkbox is not selected. -->
Q6A8="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6A(9)-registered municipal advisor (Y/N) Display a 'Y' when the
checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q6A9="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6A(10)-registered security-based swap dealer (Y/N) Display a 'Y' when
the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q6A10="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6A(11)-major security-based swap participant (Y/N) Display a 'Y' when
the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q6A11="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6A(12)-accountant or accounting firm (Y/N) Display a 'Y' when the
checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q6A12="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6A(13)-lawyer or law firm (Y/N) Display a 'Y' when the checkbox is
selected. Display an 'N' when the checkbox is not selected. -->
Q6A13="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6A(14)-Other financial product salesperson Display a 'Y' when the
checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q6A14="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6A(14)-Other text when financial product salesperson is selected 'Y'.
-->
Q6A14Oth="Str50[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item6AType">
   <xsd:attribute name="Q6A1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6A2" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6A3" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6A4" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6A5" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6A6" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6A7" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6A8" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6A9" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6A10" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6A11" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6A12" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6A13" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6A14" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6A14Oth" type="Str50" use="optional"/>
</xsd:complexType>
```

Complex Type: Item6BType

Super-types:	None
Sub-types:	None

Name	Item6BType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 6B(1)-Are you actively engaged in any other business not listed in
Item 6.A. (other than giving investment advice) (Y/N). -->
Q6B1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6B(3)-Do you sell products or provide services other than investment
advice to your advisory clients (Y/N). -->
Q6B3="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6B(2)-If yes, is this other business your primary business
(Y/N/null). -->
Q6B2="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item6BType">
   <xsd:attribute name="Q6B1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6B3" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6B2" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item7AType

Super-types:	None
Sub-types:	None

Name	Item7AType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 7A(1)-broker-dealer, municipal securities dealer, or government
securities broker or dealer (registered or unregistered) (Y/N). -->
Q7A1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 7A(2)-other investment adviser (including financial planners) (Y/N).
-->
Q7A2="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 7A(3)-registered municipal advisor. -->
Q7A3="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 7A(4)-registered security-based swap dealer. -->
Q7A4="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 7A(5)-major security-based swap participant. -->
Q7A5="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 7A(6)- commodity pool operator or commodity trading advisor (whether
registered or exempt from registration) (Y/N). -->
Q7A6="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 7A(7)-futures commission merchant. -->
Q7A7="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 7A(8)-banking or thrift institution (Y/N). -->
Q7A8="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 7A(9)-trust company. -->
Q7A9="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 7A(10)-accountant or accounting firm (Y/N). -->
Q7A10="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 7A(11)-lawyer or law firm (Y/N). -->
Q7A11="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 7A(12)-insurance company or agency (Y/N). -->
Q7A12="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 7A(13)-pension consultant (Y/N). -->
Q7A13="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 7A(14)-real estate broker or dealer (Y/N). -->
Q7A14="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 7A(15)-sponsor or syndicator of limited partnerships (or equivalent),
excluding pooled investment vehicles (Y/N). -->
Q7A15="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 7A(16)-sponsor, general partner, managing member (or equivalent) of
pooled investment vehicles (Y/N). -->
Q7A16="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item7AType">
   <xsd:attribute name="Q7A1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q7A2" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q7A3" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q7A4" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q7A5" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q7A6" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q7A7" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q7A8" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q7A9" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q7A10" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q7A11" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q7A12" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q7A13" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q7A14" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q7A15" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q7A16" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item7BType

Super-types:	None
Sub-types:	None

Name	Item7BType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 7B-Are you an adviser to any private fund (Y/N/null). -->
Q7B="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item7BType">
   <xsd:attribute name="Q7B" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item8AType

Super-types:	None
Sub-types:	None

Name	Item8AType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 8A(1)-buy securities for yourself from advisory clients, or sell
securities you own to advisory clients (principal transactions) (Y/N/null). -->
Q8A1="answerYNType[0..1]"

 <!-- This node has Firm's response to Part1A Item 8A(2)-buy or sell for yourself securities (other than shares of
mutual funds) that you also recommend to advisory clients (Y/N/null). -->
Q8A2="answerYNType[0..1]"

 <!-- This node has Firm's response to Part1A Item 8A(3)-recommend securities (or other investment products) to advisory
clients in which you or any related person has some other proprietary (ownership) interest (other than those mentioned
in Items 8.A(1) or (2)) (Y/N/null). -->
Q8A3="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item8AType">
   <xsd:attribute name="Q8A1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q8A2" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q8A3" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item8BType

Super-types:	None
Sub-types:	None

Name	Item8BType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 8B(1)-as a broker-dealer or registered representative of a broker-
dealer, execute securities trades for brokerage customers in which advisory client securities are sold to or bought from
the brokerage customer (agency cross transactions) (Y/N/null). -->
Q8B1="answerYNType[0..1]"

 <!-- This node has Firm's response to Part1A Item 8B(2)-recommend purchase of securities to advisory clients for which
you or any related person serves as underwriter, general or managing partner, or purchaser representative (Y/N/null). --
>
Q8B2="answerYNType[0..1]"

 <!-- This node has Firm's response to Part1A Item 8B(3)-recommend purchase or sale of securities to advisory clients
for which you or any related person has any other sales interest (other than the receipt of sales commissions as a
broker or registered representative of a broker-dealer) (Y/N/null). -->
Q8B3="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item8BType">
   <xsd:attribute name="Q8B1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q8B2" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q8B3" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item8CType

Super-types:	None
Sub-types:	None

Name	Item8CType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 8C(1)-securities to be bought or sold for a client's account
(Y/N/null). -->
Q8C1="answerYNType[0..1]"

 <!-- This node has Firm's response to Part1A Item 8C(2)-amount of securities to be bought or sold for a client's
account (Y/N/null). -->
Q8C2="answerYNType[0..1]"

 <!-- This node has Firm's response to Part1A Item 8C(3)-broker or dealer to be used for a purchase or sale of
securities for a client's account (Y/N/null). -->
Q8C3="answerYNType[0..1]"

 <!-- This node has Firm's response to Part1A Item 8C(4)-commission rates to be paid to a broker or dealer for a
client's securities transactions (Y/N/null). -->
Q8C4="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item8CType">
   <xsd:attribute name="Q8C1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q8C2" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q8C3" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q8C4" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item8DType

Super-types:	None
Sub-types:	None

Name	Item8DType

Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 8D-If you answer "yes" to 8C.(3), are any of the brokers or dealers
related persons (Y/N/null). -->
Q8D="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item8DType">
   <xsd:attribute name="Q8D" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item8EType

Super-types:	None
Sub-types:	None

Name	Item8EType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 8E -Do you or any related person recommend brokers or dealers to
clients (Y/N/null). -->
Q8E="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item8EType">
   <xsd:attribute name="Q8E" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item8FType

Super-types:	None
Sub-types:	None

Name	Item8FType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 8F-If you answer "yes" to 8E, are any of the brokers or dealers
related persons (Y/N/null). -->
Q8F="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item8FType">
   <xsd:attribute name="Q8F" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item8GType

Super-types:	None
Sub-types:	None

Name	Item8GType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 8G(1)-Do you or any related person receive research or other products
or services other than execution from a broker-dealer or a third party ("soft dollar benefits") in connection with
client securities transactions (Y/N/null). -->
Q8G1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 8G(2)-If "yes" to G.(1), are all the "soft dollar benefits" you or
any related persons receive eligible "research or brokerage services" under section 28(e) of the Securities Exchange Act
of 1934 (Y/N/null). -->
Q8G2="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item8GType">
   <xsd:attribute name="Q8G1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q8G2" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item8HType

Super-types:	None
Sub-types:	None

Name	Item8HType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 8H-Do you or any related person, directly or indirectly, compensate
any person for client referrals (Y/N/null) in 10/2012 version -->
Q8H="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 8H(1) (new revision)
-->
Q8H1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 8H(2) (new revision)
-->
Q8H2="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item8HType">
   <xsd:attribute name="Q8H" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q8H1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q8H2" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item8IType

Super-types:	None
Sub-types:	None

Name	Item8IType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 8I-Do you or any related person, directly or indirectly, receive
compensation from any person for client referrals(Y/N/null). -->
Q8I="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item8IType">
   <xsd:attribute name="Q8I" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item9A1Type

Super-types:	None
Sub-types:	None

Name	Item9A1Type
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 9A(1)(a)-cash or bank accounts (Y/N/null). -->
Q9A1A="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 9A(1)(b)-securities (Y/N/null). -->
Q9A1B="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 9A(2)(a)-U.S. Dollar Amount. -->
Q9A2A="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 9A(2)(b)-Total Number of Clients. -->
Q9A2B="Int38[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item9A1Type">
   <xsd:attribute name="Q9A1A" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q9A1B" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q9A2A" type="Decimal17P2" use="optional"/>
   <xsd:attribute name="Q9A2B" type="Int38" use="optional"/>
</xsd:complexType>
```

Complex Type: Item9BType

Super-types:	None
Sub-types:	None

Name	Item9BType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 9B(1)(a)-cash or bank accounts (Y/N/null). -->
Q9B1A="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 9B(1)(b)-securities (Y/N/null). -->
Q9B1B="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 9B(2)(a)-U.S. Dollar Amount. -->
Q9B2A="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 9B(2)(b)-Total Number of Clients. -->
Q9B2B="Int38[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item9BType">
   <xsd:attribute name="Q9B1A" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q9B1B" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q9B2A" type="Decimal17P2" use="optional"/>
   <xsd:attribute name="Q9B2B" type="Int38" use="optional"/>
</xsd:complexType>
```

Complex Type: Item9CType

Super-types:	None
Sub-types:	None

Name	Item9CType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 9C(1)- A qualified custodian(s) sends account statements at least
quarterly to the investors in the pooled investment vehicle(s) you manage. -->
Q9C1="answerYNType[0..1]"

 <!-- This node has Firm's response to Part1A Item 9C(2)- An independent public accountant audits annually the pooled
investment vehicle(s) that you manage and the audited financial statements are distributed to the investors in the
pools. -->
Q9C2="answerYNType[0..1]"

 <!-- This node has Firm's response to Part1A Item 9C(3)- An independent public accountant conducts an annual surprise
examination of client funds and securities. -->
Q9C3="answerYNType[0..1]"

 <!-- This node has Firm's response to Part1A Item 9C(4)- An independent public accountant prepares an internal control
report with respect to custodial services when you or your related persons are qualified custodians for client funds and
securities. -->
Q9C4="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item9CType">
   <xsd:attribute name="Q9C1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q9C2" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q9C3" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q9C4" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item9DType

Super-types:	None
Sub-types:	None

Name	Item9DType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 9D(1)-you act as a qualified custodian (Y/N/null). -->
Q9D1="answerYNType[0..1]"

 <!-- This node has Firm's response to Part1A Item 9D(2)-Do you or your related persons act as qualified custodians for
your clients in connection with advisory services you provide to clients your related persons act as qualified
custodians (Y/N/null). -->
Q9D2="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item9DType">
    <xsd:attribute name="Q9D1" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q9D2" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item9EType

Super-types:	None
Sub-types:	None

Name	Item9EType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 9E-If you are filing your annual updating amendment and you were
subject to a surprise examination by an independent public accountant during your last fiscal year, provide the date
(YYYY-MM) the examination commenced. -->
Q9E="xsd:gYearMonth[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item9EType">
    <xsd:attribute name="Q9E" type="xsd:gYearMonth" use="optional"/>
</xsd:complexType>
```

Complex Type: Item9FType

Super-types:	None
Sub-types:	None

Name	Item9FType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 9F-If you or your related persons have custody of client funds or
securities, how many persons, including, but not limited to, you and your related persons, act as qualified custodians
for your clients in connection with advisory services you provide to clients (Y/N/null). -->
Q9F="Int38[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item9FType">
    <xsd:attribute name="Q9F" type="Int38" use="optional"/>
</xsd:complexType>
```

Complex Type: ItemAType

Super-types:	AddrType < **ItemAType** (by extension)
Sub-types:	None

Name	ItemAType

Abstract	no

XML Instance Representation

```
<...
 Strt1="Str50[0..1]"
 Strt2="Str50[0..1]"
 City="Str50[0..1]"
 State="StateCdType[0..1]"
 Cntry="Str50[0..1]"
 PostlCd="Str11[0..1]"
 PhNb="Str27[0..1]"
 FaxNb="Str27[0..1]"
 Nm="Str128[0..1]"
 TitleNm="Str128[0..1]"
 Email="Str128[0..1]"
 PrvtAdrsFl="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="ItemAType">
   <xsd:complexContent>
      <xsd:extension base="AddrType">
         <xsd:attribute name="Nm" type="Str128" use="optional"/>
         <xsd:attribute name="TitleNm" type="Str128" use="optional"/>
         <xsd:attribute name="Email" type="Str128" use="optional"/>
         <xsd:attribute name="PrvtAdrsFl" type="answerYNType" use="optional"/>
      </xsd:extension>
   </xsd:complexContent>
</xsd:complexType>
```

Complex Type: NoticeFiledType

Super-types:	None
Sub-types:	None

Name	NoticeFiledType
Abstract	no

XML Instance Representation

```
<...>
   <!-- The States node has the List of states the firm is notice filed in. -->
   <States> NtcType </States> [0..*]
</...>
```

Schema Component Representation

```
<xsd:complexType name="NoticeFiledType">
   <xsd:sequence>
      <xsd:element name="States" type="NtcType" minOccurs="0" maxOccurs="unbounded"/>
   </xsd:sequence>
</xsd:complexType>
```

Complex Type: NtcType

Super-types:	None
Sub-types:	None

Name	NtcType
Abstract	no
Documentation	This has regulator, NTC status and date

XML Instance Representation

```
<...
 <!-- This node has the regulator code. -->
RgltrCd="StateCdType[1]"
 <!-- The st node has the Notice filed status of the state. -->
St="NtcFiledType[0..1]"
 <!-- The Dt node has the effective date of the notice filed status. -->
Dt="xsd:date[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="NtcType">
   <xsd:attribute name="RgltrCd" type="StateCdType" use="required"/>
   <xsd:attribute name="St" type="NtcFiledType" use="optional"/>
   <xsd:attribute name="Dt" type="xsd:date" use="optional"/>
</xsd:complexType>
```

Complex Type: Part1AType

Super-types:	None
Sub-types:	None

Name	Part1AType
Abstract	no

XML Instance Representation

```
<...>
   <!-- This node has the firm Identifying Information.This maps to Form ADV - Item 1 -->
   <Item1> Item1Type </Item1> [0..1]
   <!-- This node has the SEC Registration.This maps to Form ADV - Item 2A -->
   <Item2A> Item2AType </Item2A> [0..1]
   <!-- This node has the SEC Registration.This maps to Form ADV - Item 2B -->
   <Item2B> Item2BType </Item2B> [0..1]
   <!-- This node has the Form of Organization - How are you organized?. This maps to Form ADV - Item 3 - Q.A -->
   <Item3A> Item3AType </Item3A> [0..1]
   <!-- This node has the Form of Organization - In what month does your fiscal year end each year?. This maps to Form
   ADV - Item 3 - Q.B -->
   <Item3B> Item3BType </Item3B> [0..1]
   <!-- This node has the Form of Organization - Under the laws of what state or country are you organized?. This maps
   to Form ADV - Item 3 - Q.C -->
   <Item3C> Item3CType </Item3C> [0..1]
   <!-- This node has the Information About Your Advisory Business - Approximately how many employees do you have?
   Include full- and part-time employees but do not include any clerical workers. This maps to Form ADV - Item 5 - Q.A -
   -->
   <Item5A> Item5AType </Item5A> [0..1]
   <!-- This node has the Information About Your Advisory Business - Approximately how many of the employees reported in
   5.A.This maps to Form ADV - Item 5 - Q.B -->
   <Item5B> Item5BType </Item5B> [0..1]
   <!-- This node has the Information About Your Advisory Business - Clients.This maps to Form ADV - Item 5 - Q.C.1 and
   Q.C.2 -->
   <Item5C> Item5CType </Item5C> [0..1]
   <!-- This node has the Information About Your Advisory Business - Clients.This maps to Form ADV - Item 5 - Q.D. -->
   <Item5D> Item5DType </Item5D> [0..1]
   <!-- This node has the Information About Your Advisory Business - Compensation Arrangements.This maps to Form ADV -
   Item 5 - Q.E -->
   <Item5E> Item5EType </Item5E> [0..1]
   <!-- This node has the Information About Your Advisory Business - Regulatory Assets Under Management.This maps to
   Form ADV - Item 5 - Q.F -->
   <Item5F> Item5FType </Item5F> [0..1]
   <!-- This node has the Information About Your Advisory Business - What type(s) of advisory services do you
   provide?.This maps to Form ADV - Item 5 - Q.G -->
   <Item5G> Item5GType </Item5G> [0..1]
```

```xml
<!-- This node has the Information About Your Advisory Business - If you provide financial planning services, to how
many clients did you provide these services during your last fiscal year?.This maps to Form ADV - Item 5 - Q.H -->
<Item5H> Item5HType </Item5H> [0..1]

<!-- This node has the Information About Your Advisory Business - wrap fee program.This maps to Form ADV - Item 5 -
Q.I -->
<Item5I> Item5IType </Item5I> [0..1]

<!-- This node has the Information About Your Advisory Business - In response to Item 4.B. of Part 2A of Form ADV, do
you indicate that you provide investment advice only with respect to limited types of investments? .This maps to Form
ADV - Item 5 - Q.J -->
<Item5J> Item5JType </Item5J> [0..1]

<!-- This node has the Other Business Activities - You are actively engaged in business as a?.This maps to Form ADV -
Item 6 - Q.A -->
<Item6A> Item6AType </Item6A> [0..1]

<!-- This node has the Other Business Activities.This maps to Form ADV - Item 6 - Q.B.1 to Q.B.3 -->
<Item6B> Item6BType </Item6B> [0..1]

<!-- This node has the Financial Industry Affiliations -
     This part of Item 7 requires you to provide information about you and your related persons, including foreign
affiliates. Your related persons are all of your advisory affiliates and any person that is under common control with
you.
     You have a related person that is a?. This maps to Form ADV - Item 7 - Q.A -->
<Item7A> Item7AType </Item7A> [0..1]

<!-- This node has the Financial Industry Affiliations - Are you an adviser to any private fund?
     This maps to Form ADV - Item 7 - Q.B -->
<Item7B> Item7BType </Item7B> [0..1]

<!-- This node has the Participation or Interest in Client Transactions - Proprietary Interest in Client
Transactions. This maps to Form ADV - Item 8 - Q.A.1 to Q.A.3 -->
<Item8A> Item8AType </Item8A> [0..1]

<!-- This node has the Participation or Interest in Client Transactions - Sales Interest in Client Transactions. This
maps to Form ADV - Item 8 - Q.B.1 to Q.B.3 -->
<Item8B> Item8BType </Item8B> [0..1]

<!-- This node has the Participation or Interest in Client Transactions - Investment or Brokerage Discretion. This
maps to Form ADV - Item 8 - Q.C.1 to Q.C.4 -->
<Item8C> Item8CType </Item8C> [0..1]

<!-- This node has the Participation or Interest in Client Transactions - Investment or Brokerage Discretion. This
maps to Form ADV - Item 8 - Q.D -->
<Item8D> Item8DType </Item8D> [0..1]

<!-- This node has the Participation or Interest in Client Transactions - Investment or Brokerage Discretion. This
maps to Form ADV - Item 8 - Q.E -->
<Item8E> Item8EType </Item8E> [0..1]

<!-- This node has the Participation or Interest in Client Transactions - Investment or Brokerage Discretion. This
maps to Form ADV - Item 8 - Q.F -->
<Item8F> Item8FType </Item8F> [0..1]

<!-- This node has the Participation or Interest in Client Transactions - Investment or Brokerage Discretion. This
maps to Form ADV - Item 8 - Q.G.1 to Q.G.2 -->
<Item8G> Item8GType </Item8G> [0..1]

<!-- This node has the Participation or Interest in Client Transactions- Investment or Brokerage Discretion. This
maps to Form ADV - Item 8 - Q.H -->
<Item8H> Item8HType </Item8H> [0..1]

<!-- This node has the Participation or Interest in Client Transactions - Investment or Brokerage Discretion. This
maps to Form ADV - Item 8 - Q.I -->
<Item8I> Item8IType </Item8I> [0..1]

<!-- This node has the Custody.This maps to Form ADV - Item 9 - Q.A.1 and Q.A.2 -->
<Item9A> Item9A1Type </Item9A> [0..1]

<!-- This node has the Custody.This maps to Form ADV - Item 9 - Q.B.1 and Q.B.2 -->
<Item9B> Item9BType </Item9B> [0..1]

<!-- This node has the Custody.This maps to Form ADV - Item 9 - Q.C.1 to Q.C.4 -->
<Item9C> Item9CType </Item9C> [0..1]

<!-- This node has the Custody.This maps to Form ADV - Item 9 - Q.D.1 and Q.D.2 -->
<Item9D> Item9DType </Item9D> [0..1]

<!-- This node has the Custody.This maps to Form ADV - Item 9 - Q.E -->
<Item9E> Item9EType </Item9E> [0..1]

<!-- This node has the Custody.This maps to Form ADV - Item 9 - Q.F -->
<Item9F> Item9FType </Item9F> [0..1]

<!-- This node has Control Persons details.This maps to Form ADV - Item 10 - Q.A and Q.B -->
<Item10A> Item10AType </Item10A> [0..1]

<!-- This node has Disclosure Information.This maps to Form ADV - Item 11 -->
<Item11> Item11Type </Item11> [0..1]

<!-- This node has Disclosure Information - Criminal Action DRP.This maps to Form ADV - Item 11 - Q.A -->
<Item11A> Item11AType </Item11A> [0..1]
```

```xml
<!-- This node has Disclosure Information - advisory affiliate.This maps to Form ADV - Item 11 - Q.B -->
<Item11B> Item11BType </Item11B> [0..1]

<!-- This node has Disclosure Information - Regulatory Action DRP - Has the SEC or the Commodity Futures Trading
Commission (CFTC) ever.This maps to Form ADV - Item 11 - Q.C -->
<Item11C> Item11CType </Item11C> [0..1]

<!-- This node has Disclosure Information - Regulatory Action DRP - Has any other federal regulatory agency, any
state regulatory agency, or any foreign financial regulatory authority.This maps to Form ADV - Item 11 - Q.D -->
<Item11D> Item11DType </Item11D> [0..1]

<!-- This node has Disclosure Information - Regulatory Action DRP - Has any self-regulatory organization or
commodities exchange ever.This maps to Form ADV - Item 11 - Q.E -->
<Item11E> Item11EType </Item11E> [0..1]

<!-- This node has Disclosure Information - Regulatory Action DRP - Has an authorization to act as an attorney,
accountant, or federal contractor granted to you or any advisory affiliate ever been revoked or suspended.This maps
to Form ADV - Item 11 - Q.F -->
<Item11F> Item11FType </Item11F> [0..1]

<!-- This node has Disclosure Information - Regulatory Action DRP - advisory affiliate .This maps to Form ADV - Item
11 - Q.G -->
<Item11G> Item11GType </Item11G> [0..1]

<!-- This node has Disclosure Information - Civil Judicial Action DRP.This maps to Form ADV - Item 11 - Q.H -->
<Item11H> Item11HType </Item11H> [0..1]
</...>
```

Schema Component Representation

```xml
<xsd:complexType name="Part1AType">
  <xsd:sequence>
    <xsd:element name="Item1" type="Item1Type" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item2A" type="Item2AType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item2B" type="Item2BType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item3A" type="Item3AType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item3B" type="Item3BType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item3C" type="Item3CType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item5A" type="Item5AType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item5B" type="Item5BType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item5C" type="Item5CType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item5D" type="Item5DType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item5E" type="Item5EType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item5F" type="Item5FType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item5G" type="Item5GType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item5H" type="Item5HType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item5I" type="Item5IType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item5J" type="Item5JType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item6A" type="Item6AType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item6B" type="Item6BType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item7A" type="Item7AType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item7B" type="Item7BType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item8A" type="Item8AType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item8B" type="Item8BType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item8C" type="Item8CType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item8D" type="Item8DType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item8E" type="Item8EType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item8F" type="Item8FType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item8G" type="Item8GType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item8H" type="Item8HType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item8I" type="Item8IType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item9A" type="Item9A1Type" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item9B" type="Item9BType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item9C" type="Item9CType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item9D" type="Item9DType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item9E" type="Item9EType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item9F" type="Item9FType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item10A" type="Item10AType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item11" type="Item11Type" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item11A" type="Item11AType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item11B" type="Item11BType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item11C" type="Item11CType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item11D" type="Item11DType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item11E" type="Item11EType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item11F" type="Item11FType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item11G" type="Item11GType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Item11H" type="Item11HType" minOccurs="0" maxOccurs="1"/>
  </xsd:sequence>
</xsd:complexType>
```

Complex Type: RgstnType

Super-types:	None
Sub-types:	None

Name	RgstnType
Abstract	no

XML Instance Representation

```
<...
 <!-- The FirmType node has the detail if firm is Registered or an ERA.
      Displays Registered for registered firms. Displays ERA for Exempt Reporting Adviser firms. -->
FirmType="FirmCdType[1]"
 <!-- The st node has the firm's registration status with the SEC or the firm's ERA 'status' at the time of report
generation -->
St="SecRgstnStType[1]"
 <!-- The dt node has the firm's effective date of their SEC registration or the firm's ERA reporting filing date at the
time of report generation. -->
Dt="xsd:date[1]"/>
```

Schema Component Representation

```
<xsd:complexType name="RgstnType">
   <xsd:attribute name="FirmType" type="FirmCdType" use="required"/>
   <xsd:attribute name="St" type="SecRgstnStType" use="required"/>
   <xsd:attribute name="Dt" type="xsd:date" use="required"/>
</xsd:complexType>
```

Complex Type: SECFirmType

Super-types:	None
Sub-types:	None

Name	SECFirmType
Abstract	no

XML Instance Representation

```
<...>
   <!-- This node contains the organization's information. -->
   <Info> SECOrgInfoType </Info> [1]
   <!-- This node has the Item 1F Principal Main office address info. -->
   <MainAddr> AddrType </MainAddr> [0..1]
   <!-- This node has the Item 1G mailing address info. -->
   <MailingAddr> AddrType </MailingAddr> [0..1]
   <!-- This node has the firm registration type. -->
   <Rgstn> RgstnType </Rgstn> [1..*]
   <!-- This node has the active notice filing statuses. -->
   <NoticeFiled> NoticeFiledType </NoticeFiled> [0..1]
   <!-- This node has the firm filing info. -->
   <Filing> FilingType </Filing> [1..*]
   <!-- This node has the firm forminfo. -->
   <FormInfo> SECFormInfoType </FormInfo> [0..1]
</...>
```

Schema Component Representation

```xsd
<xsd:complexType name="SECFirmType">
  <xsd:sequence>
    <xsd:element name="Info" type="SECOrgInfoType" minOccurs="1" maxOccurs="1"/>
    <xsd:element name="MainAddr" type="AddrType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="MailingAddr" type="AddrType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Rgstn" type="RgstnType" minOccurs="1" maxOccurs="unbounded"/>
    <xsd:element name="NoticeFiled" type="NoticeFiledType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="Filing" type="FilingType" minOccurs="1" maxOccurs="unbounded"/>
    <xsd:element name="FormInfo" type="SECFormInfoType" minOccurs="0" maxOccurs="1"/>
  </xsd:sequence>
</xsd:complexType>
```

Complex Type: SECFormInfoType

Super-types:	None
Sub-types:	None

Name	SECFormInfoType
Abstract	no

XML Instance Representation

```
<...>
   <!-- This has the form ADV Part1 details -->
   <Part1A> Part1AType </Part1A> [1]
</...>
```

Schema Component Representation

```xsd
<xsd:complexType name="SECFormInfoType">
  <xsd:sequence>
    <xsd:element name="Part1A" type="Part1AType"/>
  </xsd:sequence>
</xsd:complexType>
```

Complex Type: SECOrgInfoType

Super-types:	None
Sub-types:	None

Name	SECOrgInfoType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has the SEC Region Acronym. -->
SECRgnCD="SECRgnCdType[0..1]"
 <!-- This node has the SEC firm's CRD number. This maps to Form ADV-Item 1 - Q1.e -->
FirmCrdNb="Int8[1]"
 <!-- This node has the firm's 801# or 802# from the IARD composite record. This maps to Form ADV-Item 1 - Q1.d -->
SECNb="Str10[0..1]"
 <!-- This node has the Firm's primary business name from the IARD composite record. This maps to Form ADV-Item 1 - Q1.b
(1) -->
BusNm="Str64[0..1]"
 <!-- This node has the Firm's legal name from the IARD composite record. This maps to Form ADV-Item 1 - Q1.a -->
LegalNm="Str64[1]"
 <!-- This node has the Flag indicating if this firm registers more than 1 investment adviser under an umbrella
registration. This maps to ADV- Item 1 - Q1.b(2)
-->
UmbrRgstn="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="SECOrgInfoType">
   <xsd:attribute name="SECRgnCD" type="SECRgnCdType" use="optional"/>
   <xsd:attribute name="FirmCrdNb" type="Int8" use="required"/>
   <xsd:attribute name="SECNb" type="Str10" use="optional"/>
   <xsd:attribute name="BusNm" type="Str64" use="optional"/>
   <xsd:attribute name="LegalNm" type="Str64" use="required"/>
   <xsd:attribute name="UmbrRgstn" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Simple Type: **answerYNType**

Super-types:	xsd:string < **answerYNType** (by restriction)
Sub-types:	None

Name	answerYNType
Content	l Base XSD Type: string l *value* comes from list: {'Y' | 'N'}

Schema Component Representation

```
<xsd:simpleType name="answerYNType">
   <xsd:restriction base="xsd:string">
     <xsd:enumeration value="Y"/>
     <xsd:enumeration value="N"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: **Decimal14P2**

Super-types:	xsd:decimal < **Decimal14P2** (by restriction)
Sub-types:	None

Name	Decimal14P2
Content	l Base XSD Type: decimal l *total no. of digits* = 14 l *no. of fraction digits* = 2

```xml
<xsd:simpleType name="Decimal14P2">
   <xsd:restriction base="xsd:decimal">
     <xsd:totalDigits value="14"/>
     <xsd:fractionDigits value="2"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: Decimal17P2

Super-types:	xsd:decimal < **Decimal17P2** (by restriction)
Sub-types:	None

Name	Decimal17P2
Content	l Base XSD Type: decimal l *total no. of digits* = 17 l *no. of fraction digits* = 2

Schema Component Representation

```xml
<xsd:simpleType name="Decimal17P2">
   <xsd:restriction base="xsd:decimal">
     <xsd:totalDigits value="17"/>
     <xsd:fractionDigits value="2"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: FirmCdType

Super-types:	xsd:NMTOKEN < **FirmCdType** (by restriction)
Sub-types:	None

Name	FirmCdType
Content	l Base XSD Type: NMTOKEN l *value* comes from list: {'Registered' | 'ERA'} l *length* <= 10
Documentation	Elements of this type represent the business type. Allowed values (code-Name) are: Registered-Registered Firms. ERA-Exempt Reporting Adviser firms.

Schema Component Representation

```xml
<xsd:simpleType name="FirmCdType">
   <xsd:restriction base="xsd:NMTOKEN">
     <xsd:maxLength value="10"/>
     <xsd:enumeration value="Registered"/>
     <xsd:enumeration value="ERA"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: Int10

Super-types:	xsd:integer < **Int10** (by restriction)
Sub-types:	None

Name	Int10
Content	l Base XSD Type: integer
	l *total no. of digits* = 10

Schema Component Representation

```
<xsd:simpleType name="Int10">
   <xsd:restriction base="xsd:integer">
     <xsd:totalDigits value="10"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: Int3

Super-types:	xsd:integer < **Int3** (by restriction)
Sub-types:	None

Name	Int3
Content	l Base XSD Type: integer
	l *total no. of digits* = 3

Schema Component Representation

```
<xsd:simpleType name="Int3">
   <xsd:restriction base="xsd:integer">
     <xsd:totalDigits value="3"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: Int38

Super-types:	xsd:integer < **Int38** (by restriction)
Sub-types:	None

Name	Int38
Content	l Base XSD Type: integer
	l *total no. of digits* = 38

Schema Component Representation

```
<xsd:simpleType name="Int38">
   <xsd:restriction base="xsd:integer">
     <xsd:totalDigits value="38"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: Int5

Super-types:	xsd:integer < **Int5** (by restriction)
Sub-types:	None

Name	Int5
Content	l Base XSD Type: integer
	l *total no. of digits* = 5

```
<xsd:simpleType name="Int5">
   <xsd:restriction base="xsd:integer">
      <xsd:totalDigits value="5"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: Int8

Super-types:	xsd:integer < **Int8** (by restriction)
Sub-types:	None

Name	Int8
Content	l Base XSD Type: integer l *total no. of digits* = 8

Schema Component Representation

```
<xsd:simpleType name="Int8">
   <xsd:restriction base="xsd:integer">
      <xsd:totalDigits value="8"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: NtcFiledType

Super-types:	xsd:NMTOKEN < **NtcFiledType** (by restriction)
Sub-types:	None

Name	NtcFiledType
Content	l Base XSD Type: NMTOKEN l *value* comes from list: {'FILED' | 'PENDSEC'} l *length* <= 20
Documentation	Elements of this type represent the business type. Allowed values (code-Name) are: FILED-Notice Filed. PENDSEC-Pending.

Schema Component Representation

```
<xsd:simpleType name="NtcFiledType">
   <xsd:restriction base="xsd:NMTOKEN">
      <xsd:maxLength value="20"/>
      <xsd:enumeration value="FILED"/>
      <xsd:enumeration value="PENDSEC"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: SECRgnCdType

Super-types:	xsd:NMTOKEN < **SECRgnCdType** (by restriction)
Sub-types:	None

Name	SECRgnCdType
Content	l Base XSD Type: NMTOKEN

	l *value* comes from list: {'ARO' | 'BRO' | 'DRO' | 'FWRO' | 'CHRO' | 'NYRO' | 'LARO' | 'PLRO' | 'SFRO' | 'MIRO' | 'HQ'} l *length* <= 6
Documentation	Elements of this type represent the business type. Allowed values (code-Name) are: ARO-Atlanta Regional Office. BRO-Boston Regional Office. DRO-Denver Regional Office. FWRO-Fort Worth Regional Office. CHRO-Chicago Regional Office. NYRO-New York Regional Office. LARO-Los Angeles Regional Office. PLRO-Philadelphia Regional Office. SFRO-San Francisco Regional Office. MIRO-Miami Regional Office. HQ-Headquarters.

Schema Component Representation

```
<xsd:simpleType name="SECRgnCdType">
   <xsd:restriction base="xsd:NMTOKEN">
      <xsd:maxLength value="6"/>
      <xsd:enumeration value="ARO"/>
      <xsd:enumeration value="BRO"/>
      <xsd:enumeration value="DRO"/>
      <xsd:enumeration value="FWRO"/>
      <xsd:enumeration value="CHRO"/>
      <xsd:enumeration value="NYRO"/>
      <xsd:enumeration value="LARO"/>
      <xsd:enumeration value="PLRO"/>
      <xsd:enumeration value="SFRO"/>
      <xsd:enumeration value="MIRO"/>
      <xsd:enumeration value="HQ"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: SecRgstnStType

Super-types:	xsd:NMTOKEN < **SecRgstnStType** (by restriction)
Sub-types:	None

Name	SecRgstnStType
Content	l Base XSD Type: NMTOKEN l *value* comes from list: {'APPROVED' | 'APPROVED-120' | 'SUSPENDED' | 'ACTIVE'} l *length* <= 20
Documentation	Elements of this type represent the business type. Allowed values (code-Name) are: APPROVED-Approved. APPROVED-120-120-Day Approval. SUSPENDED-Suspended. ACTIVE-Active.

Schema Component Representation

```
<xsd:simpleType name="SecRgstnStType">
   <xsd:restriction base="xsd:NMTOKEN">
      <xsd:maxLength value="20"/>
      <xsd:enumeration value="APPROVED"/>
      <xsd:enumeration value="APPROVED-120"/>
      <xsd:enumeration value="SUSPENDED"/>
      <xsd:enumeration value="ACTIVE"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: StateCdType

Super-types:	xsd:NMTOKEN < **StateCdType** (by restriction)
Sub-types:	None

Name	StateCdType
Content	l Base XSD Type: NMTOKEN l *value* comes from list: {'AK' | 'AL' | 'AR' | 'AZ' | 'CA' | 'CO' | 'CT' | 'DC' | 'DE' | 'FL' | 'GA' | 'GU' | 'HI' | 'IA' | 'ID' | 'IL' | 'IN' | 'KS' | 'KY' | 'LA' | 'MA' | 'MD' | 'ME' | 'MI' | 'MN' | 'MO' | 'MS' | 'MT' | 'NC' | 'ND' | 'NE' | 'NH' | 'NJ' | 'NM' | 'NV' | 'NY' | 'OH' | 'OK' | 'OR' | 'PA' | 'PR' | 'RI' | 'SC' | 'SD' | 'TN' | 'TX' | 'UT' | 'VA' | 'VT' | 'WA' | 'WI' | 'WV' | 'WY' | 'VI'} l *length* <= 2
Documentation	Elements of this type represent the allowed State Codes. Allowed values (code-Name) are: AK-Alaska AL-Alabama AR-Arkansas AZ-Arizona CA-California CO-Colorado CT-Connecticut DC-District of Columbia DE-Delaware FL-Florida GA-Georgia GU-Guam HI-Hawaii IA-Iowa ID-Idaho IL-Illinois IN-Indiana KS-Kansas KY-Kentucky LA-Louisiana MA-Massachusetts MD-Maryland ME-Maine MI-Michigan MN-Minnesota MO-Missouri MS-Mississippi MT-Montana NC-North Carolina ND-North Dakota NE-Nebraska NH-New Hampshire NJ-New Jersey NM-New Mexico NV-Nevada NY-New York OH-Ohio OK-Oklahoma OR-Oregon PA-Pennsylvania PR-Puerto Rico RI-Rhode Island SC-South Carolina SD-South Dakota TN-Tennessee TX-Texas UT-Utah VA-Virginia VT-Vermont WA-Washington WI-Wisconsin WV-West Virginia WY-Wyoming VI-Virgin Islands

Schema Component Representation

```xsd
<xsd:simpleType name="StateCdType">
  <xsd:restriction base="xsd:NMTOKEN">
    <xsd:maxLength value="2"/>
    <xsd:enumeration value="AK"/>
    <xsd:enumeration value="AL"/>
    <xsd:enumeration value="AR"/>
    <xsd:enumeration value="AZ"/>
    <xsd:enumeration value="CA"/>
    <xsd:enumeration value="CO"/>
    <xsd:enumeration value="CT"/>
    <xsd:enumeration value="DC"/>
    <xsd:enumeration value="DE"/>
    <xsd:enumeration value="FL"/>
    <xsd:enumeration value="GA"/>
    <xsd:enumeration value="GU"/>
    <xsd:enumeration value="HI"/>
    <xsd:enumeration value="IA"/>
    <xsd:enumeration value="ID"/>
    <xsd:enumeration value="IL"/>
    <xsd:enumeration value="IN"/>
    <xsd:enumeration value="KS"/>
    <xsd:enumeration value="KY"/>
    <xsd:enumeration value="LA"/>
    <xsd:enumeration value="MA"/>
    <xsd:enumeration value="MD"/>
    <xsd:enumeration value="ME"/>
    <xsd:enumeration value="MI"/>
    <xsd:enumeration value="MN"/>
    <xsd:enumeration value="MO"/>
    <xsd:enumeration value="MS"/>
    <xsd:enumeration value="MT"/>
    <xsd:enumeration value="NC"/>
    <xsd:enumeration value="ND"/>
    <xsd:enumeration value="NE"/>
    <xsd:enumeration value="NH"/>
    <xsd:enumeration value="NJ"/>
    <xsd:enumeration value="NM"/>
    <xsd:enumeration value="NV"/>
    <xsd:enumeration value="NY"/>
    <xsd:enumeration value="OH"/>
    <xsd:enumeration value="OK"/>
    <xsd:enumeration value="OR"/>
    <xsd:enumeration value="PA"/>
    <xsd:enumeration value="PR"/>
    <xsd:enumeration value="RI"/>
    <xsd:enumeration value="SC"/>
    <xsd:enumeration value="SD"/>
    <xsd:enumeration value="TN"/>
    <xsd:enumeration value="TX"/>
    <xsd:enumeration value="UT"/>
    <xsd:enumeration value="VA"/>
    <xsd:enumeration value="VT"/>
    <xsd:enumeration value="WA"/>
    <xsd:enumeration value="WI"/>
    <xsd:enumeration value="WV"/>
    <xsd:enumeration value="WY"/>
    <xsd:enumeration value="VI"/>
  </xsd:restriction>
</xsd:simpleType>
```

Simple Type: Str10

Super-types:	xsd:string < **Str10** (by restriction)
Sub-types:	None

Name	Str10
Content	l Base XSD Type: string l *length* <= 10

Schema Component Representation

```xsd
<xsd:simpleType name="Str10">
   <xsd:restriction base="xsd:string">
      <xsd:maxLength value="10"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: Str11

Super-types:	xsd:string < **Str11** (by restriction)
Sub-types:	None

Name	Str11
Content	l Base XSD Type: string
	l *length* <= 11

Schema Component Representation

```xsd
<xsd:simpleType name="Str11">
   <xsd:restriction base="xsd:string">
      <xsd:maxLength value="11"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: Str128

Super-types:	xsd:string < **Str128** (by restriction)
Sub-types:	None

Name	Str128
Content	l Base XSD Type: string
	l *length* <= 128

Schema Component Representation

```xsd
<xsd:simpleType name="Str128">
   <xsd:restriction base="xsd:string">
      <xsd:maxLength value="128"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: Str20

Super-types:	xsd:string < **Str20** (by restriction)
Sub-types:	None

Name	Str20
Content	l Base XSD Type: string
	l *length* <= 20

Schema Component Representation

```
<xsd:simpleType name="Str20">
   <xsd:restriction base="xsd:string">
      <xsd:maxLength value="20"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: Str27

Super-types:	xsd:string < **Str27** (by restriction)
Sub-types:	None

Name	Str27
Content	l Base XSD Type: string l *length* <= 27

Schema Component Representation

```
<xsd:simpleType name="Str27">
   <xsd:restriction base="xsd:string">
      <xsd:maxLength value="27"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: Str4000

Super-types:	xsd:string < **Str4000** (by restriction)
Sub-types:	None

Name	Str4000
Content	l Base XSD Type: string l *length* <= 4000

Schema Component Representation

```
<xsd:simpleType name="Str4000">
   <xsd:restriction base="xsd:string">
      <xsd:maxLength value="4000"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: Str50

Super-types:	xsd:string < **Str50** (by restriction)
Sub-types:	None

Name	Str50
Content	l Base XSD Type: string l *length* <= 50

Schema Component Representation

```
<xsd:simpleType name="Str50">
   <xsd:restriction base="xsd:string">
      <xsd:maxLength value="50"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: Str512

Super-types:	xsd:string < **Str512** (by restriction)
Sub-types:	None

Name	Str512
Content	l Base XSD Type: string
	l *length* <= 512

Schema Component Representation

```
<xsd:simpleType name="Str512">
   <xsd:restriction base="xsd:string">
      <xsd:maxLength value="512"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: Str64

Super-types:	xsd:string < **Str64** (by restriction)
Sub-types:	None

Name	Str64
Content	l Base XSD Type: string
	l *length* <= 64

Schema Component Representation

```
<xsd:simpleType name="Str64">
   <xsd:restriction base="xsd:string">
      <xsd:maxLength value="64"/>
   </xsd:restriction>
</xsd:simpleType>
```

IAPD State Compilation Report Xml Schema Reference

Schema Properties

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	Version: Release 2017.09 (last updated on 07/03/2017)

Global Declarations

Element: **IAPDFirmStateReport**

Name	IAPDFirmStateReport
Type	IAPDFirmStateReportType
Nillable	no
Abstract	no
Documentation	The compilation Report contains information for any firm that currently hold an approved equivalent registration status with at least one State that 'opts in' the IAPD compilation, or currently hold an ERA-Active status with at least one State that 'opts in' the IAPD compilation, and has filed a Form ADV.The question numbers corresponds to Form ADV version 10/2017.

XML Instance Representation

```
<IAPDFirmStateReport
 <!-- This node contains the report generated date information. -->
GenOn="xsd:date[1]">
   <Firms> [1]
      <!-- This node contains the list of firms information. -->
      <Firm> StFirmType </Firm> [1..*]
   </Firms>
</IAPDFirmStateReport>
```

Schema Component Representation

```
<xsd:element name="IAPDFirmStateReport" type="IAPDFirmStateReportType"/>
```

Global Definitions

Complex Type: **AddrType**

Super-types:	None
Sub-types:	None

Name	AddrType
Abstract	no

XML Instance Representation

```
<...
  Strt1="Str50[0..1]"
  Strt2="Str50[0..1]"
  City="Str50[0..1]"
  State="StateCdType[0..1]"
  Cntry="Str50[0..1]"
  PostlCd="Str11[0..1]"
  PhNb="Str27[0..1]"
  FaxNb="Str27[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="AddrType">
   <xsd:attribute name="Strt1" type="Str50" use="optional"/>
   <xsd:attribute name="Strt2" type="Str50" use="optional"/>
   <xsd:attribute name="City" type="Str50" use="optional"/>
   <xsd:attribute name="State" type="StateCdType" use="optional"/>
   <xsd:attribute name="Cntry" type="Str50" use="optional"/>
   <xsd:attribute name="PostlCd" type="Str11" use="optional"/>
   <xsd:attribute name="PhNb" type="Str27" use="optional"/>
   <xsd:attribute name="FaxNb" type="Str27" use="optional"/>
</xsd:complexType>
```

Complex Type: DsclrQstnsType

Super-types:	None
Sub-types:	None

Name	DsclrQstnsType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's most recent response to Part 1B Item2C. Has a bonding company ever denied, paid out on, or
 revoked a bond for you any advisory affiliate, or any management person (Y/N/null). -->
Q1B2C="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item2D. Are there any unsatisfied judgments or liens against
 you, any advisory affiliate, or any management person (Y/N/null). -->
Q1B2D="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item2E. Are you, any advisory affiliate, or any management
 person currently the subject of, or have you, any advisory affiliate, or any management person been the subject of, an
 arbitration claim alleging damages in excess of $2,500, involving any of the following: (1) any investment or an
 investment-related business or activity (Y/N/null). -->
Q1B2E1="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item2E. Are you, any advisory affiliate, or any management
 person currently the subject of, or have you, any advisory affiliate, or any management person been the subject of, an
 arbitration claim alleging damages in excess of $2,500, involving any of the following: (2) fraud, false statement, or
 omission (Y/N/null). -->
Q1B2E2="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item2E. Are you, any advisory affiliate, or any management
 person currently the subject of, or have you, any advisory affiliate, or any management person been the subject of, an
 arbitration claim alleging damages in excess of $2,500, involving any of the following: (3) theft, embezzlement, or
 other wrongful taking of property (Y/N/null). -->
Q1B2E3="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item2E. Are you, any advisory affiliate, or any management
 person currently the subject of, or have you, any advisory affiliate, or any management person been the subject of, an
 arbitration claim alleging damages in excess of $2,500, involving any of the following: (4) bribery, forgery,
 counterfeiting, or extortion (Y/N/null). -->
Q1B2E4="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item2E. Are you, any advisory affiliate, or any management
 person currently the subject of, or have you, any advisory affiliate, or any management person been the subject of, an
 arbitration claim alleging damages in excess of $2,500, involving any of the following: (5) dishonest, unfair, or
 unethical practices (Y/N/null). -->
Q1B2E5="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item2F. Are you, any advisory affiliate, or any management
 person currently subject to, or have you, any advisory affiliate, or any management person been found liable in, a
 civil, self-regulatory organization, or administrative proceeding involving any of the following: (1) an investment or
 investment-related business or activity (Y/N/null). -->
Q1B2F1="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item2F. Are you, any advisory affiliate, or any management
 person currently subject to, or have you, any advisory affiliate, or any management person been found liable in, a
 civil, self-regulatory organization, or administrative proceeding involving any of the following: (2) fraud, false
 statement, or omission (Y/N/null). -->
Q1B2F2="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item2F. Are you, any advisory affiliate, or any management
 person currently subject to, or have you, any advisory affiliate, or any management person been found liable in, a
 civil, self-regulatory organization, or administrative proceeding involving any of the following: (3) theft,
 embezzlement, or other wrongful taking of property (Y/N/null). -->
Q1B2F3="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item2F. Are you, any advisory affiliate, or any management
 person currently subject to, or have you, any advisory affiliate, or any management person been found liable in, a
 civil, self-regulatory organization, or administrative proceeding involving any of the following: (4) bribery, forgery,
 counterfeiting, or extortion (Y/N/null). -->
Q1B2F4="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item2F. Are you, any advisory affiliate, or any management
 person currently subject to, or have you, any advisory affiliate, or any management person been found liable in, a
 civil, self-regulatory organization, or administrative proceeding involving any of the following: (5) dishonest, unfair,
 or unethical practices (Y/N/null). -->
Q1B2F5="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="DsclrQstnsType">
   <xsd:attribute name="Q1B2C" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q1B2D" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q1B2E1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q1B2E2" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q1B2E3" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q1B2E4" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q1B2E5" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q1B2F1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q1B2F2" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q1B2F3" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q1B2F4" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q1B2F5" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: **FilingType**

Super-types:	None
Sub-types:	None

Name	FilingType
Abstract	no

XML Instance Representation

```
<...
 <!-- This has the date the organization's most recent Form ADV filing was processed. -->
Dt="xsd:date[1]"
 <!-- This node has the version of the latest form ADV submitted. -->
FormVrsn="Str20[1]"/>
```

Schema Component Representation

```
<xsd:complexType name="FilingType">
   <xsd:attribute name="Dt" type="xsd:date" use="required"/>
   <xsd:attribute name="FormVrsn" type="Str20" use="required"/>
</xsd:complexType>
```

Complex Type: **IAPDFirmStateReportType**

Super-types:	None
Sub-types:	None

Name	IAPDFirmStateReportType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node contains the report generated date information. -->
GenOn="xsd:date[1]">
   <Firms> [1]
      <!-- This node contains the list of firms information. -->
      <Firm> StFirmType </Firm> [1..*]
   </Firms>
</...>
```

Schema Component Representation

```
<xsd:complexType name="IAPDFirmStateReportType">
   <xsd:sequence>
      <xsd:element name="Firms" maxOccurs="1">
         <xsd:complexType>
            <xsd:sequence>
               <xsd:element name="Firm" type="StFirmType" maxOccurs="unbounded"/>
            </xsd:sequence>
         </xsd:complexType>
      </xsd:element>
   </xsd:sequence>
   <xsd:attribute name="GenOn" type="xsd:date" use="required"/>
</xsd:complexType>
```

Complex Type: **Item10AType**

Super-types:	None
Sub-types:	None

Name	Item10AType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 10A -Does any person not named in Item 1.A. or Schedules A, B, or C,
directly or indirectly, control your management or policies (Y/N/null). -->
Q10A="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item10AType">
   <xsd:attribute name="Q10A" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item11AType

Super-types:	None
Sub-types:	None

Name	Item11AType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 11A(1)-been convicted of or plead guilty or nolo contendere ("no
contest") in a domestic, foreign, or military court to any felony (Y/N/null). -->
Q11A1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 11A(2)-been charged with any felony (Y/N/null). -->
Q11A2="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item11AType">
   <xsd:attribute name="Q11A1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q11A2" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item11BType

Super-types:	None
Sub-types:	None

Name	Item11BType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 11B(1)-been convicted of or plead guilty or nolo contendere ("no
contest") in a domestic, foreign, or military court to a misdemeanor involving: investments or an investment-related
business, or any fraud, false statements, or omissions, wrongful taking of property, bribery, perjury, forgery,
counterfeiting, extortion, or a conspiracy to commit any of these offenses (Y/N/null). -->
Q11B1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 11B(2)-been charged with a misdemeanor listed in 11.B(1) (Y/N/null).
-->
Q11B2="answerYNType[0..1]"/>
```

```
<xsd:complexType name="Item11BType">
    <xsd:attribute name="Q11B1" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q11B2" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item11CType

Super-types:	None
Sub-types:	None

Name	Item11CType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 11C(1)-found you or any advisory affiliate to have made a false
statement or omission (Y/N/null). -->
Q11C1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 11C(2)-found you or any advisory affiliate to have been involved in a
violation of SEC or CFTC regulations or statutes (Y/N). -->
Q11C2="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 11C(3)-found you or any advisory affiliate to have been a cause of an
investment-related business having its authorization to do business denied, suspended, revoked, or restricted
(Y/N/null). -->
Q11C3="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 11C(4)-entered an order against you or any advisory affiliate in
connection with investment-related activity (Y/N/null). -->
Q11C4="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 11C(5)-imposed a civil money penalty on you or any advisory
affiliate, or ordered you or any advisory affiliate to cease and desist from any activity (Y/N/null). -->
Q11C5="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item11CType">
    <xsd:attribute name="Q11C1" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q11C2" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q11C3" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q11C4" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q11C5" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item11DType

Super-types:	None
Sub-types:	None

Name	Item11DType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 11D(1)-ever found you or any advisory affiliate to have made a false
statement or omission, or been dishonest, unfair, or unethical (Y/N/null). -->
Q11D1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 11D(2)-ever found you or any advisory affiliate to have been involved
in a violation of investment-related regulations or statutes (Y/N/null). -->
Q11D2="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 11D(3)-ever found you or any advisory affiliate to have been a cause
of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted
(Y/N/null). -->
Q11D3="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 11D(4)-in the past ten years, entered an order against you or any
advisory affiliate in connection with an investment-related activity (Y/N/null). -->
Q11D4="answerYNType[0..1]"
 <!-- This node has Firm's response to Item 11D(5)-ever denied, suspended, or revoked your or any advisory affiliate's
registration or license, or otherwise prevented you or any advisory affiliate, by order, from associating with an
investment-related business or restricted your or any advisory affiliate's activity (Y/N/null). -->
Q11D5="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item11DType">
   <xsd:attribute name="Q11D1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q11D2" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q11D3" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q11D4" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q11D5" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item11EType

Super-types:	None
Sub-types:	None

Name	Item11EType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 11E(1)-found you or any advisory affiliate to have made a false
statement or omission (Y/N/null). -->
Q11E1="answerYNType[0..1]"
 <!-- This node has Firm's response to Item 11E(2)-found you or any advisory affiliate to have been involved in a
violation of its rules (other than a violation designated as a "minor rule violation" under a plan approved by the SEC)
(Y/N/null). -->
Q11E2="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 11E(3)-found you or any advisory affiliate to have been the cause of
an investment-related business having its authorization to do business denied, suspended, revoked, or restricted
(Y/N/null). -->
Q11E3="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 11E(4)-disciplined you or any advisory affiliate by expelling or
suspending you or the advisory affiliate from membership, barring or suspending you or the advisory affiliate from
association with other members, or otherwise restricting your or the advisory affiliate's activities (Y/N/null). -->
Q11E4="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item11EType">
   <xsd:attribute name="Q11E1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q11E2" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q11E3" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q11E4" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item11FType

Super-types:	None
Sub-types:	None

Name	Item11FType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 11F-Has an authorization to act as an attorney, accountant, or
federal contractor granted to you or any advisory affiliate ever been revoked or suspended (Y/N/null). -->
Q11F="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item11FType">
   <xsd:attribute name="Q11F" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item11GType

Super-types:	None
Sub-types:	None

Name	Item11GType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 11G-Are you or any advisory affiliate now the subject of any
regulatory proceeding that could result in a "yes" answer to any part of Item 11.C., 11.D., or 11.E. (Y/N/null). -->
Q11G="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item11GType">
   <xsd:attribute name="Q11G" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item11HType

Super-types:	None
Sub-types:	None

Name	Item11HType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 11H(1)(a)-the past ten years, enjoined you or any advisory affiliate
in connection with any investment-related activity (Y/N/null). -->
Q11H1A="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 11H(1)(b)-ever found that you or any advisory affiliate were involved
in a violation of investment-related statutes or regulations (Y/N/null). -->
Q11H1B="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 11H(1)(c)-ever dismissed, pursuant to a settlement agreement, an
investment-related civil action brought against you or any advisory affiliate by a state or foreign financial regulatory
authority (Y/N/null). -->
Q11H1C="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 11H(2)-Are you or any advisory affiliate now the subject of any civil
proceeding that could result in a "yes" answer to any part of Item 11.H(1) (Y/N/null). -->
Q11H2="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item11HType">
   <xsd:attribute name="Q11H1A" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q11H1B" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q11H1C" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q11H2" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item11Type

Super-types:	None
Sub-types:	None

Name	Item11Type
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 11-Do any of the events below involve you or any of your supervised
persons (Y/N/null). -->
Q11="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item11Type">
   <xsd:attribute name="Q11" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item1Type

Super-types:	None
Sub-types:	None

Name	Item1Type
Abstract	no

XML Instance Representation

```
<...
  <!-- This node has Firm's response to Part1A Item 1I-Do you have one or more websites (Y/N/null). -->
Q1I="answerYNType[0..1]"
  <!-- This node has Firm's response to Part1A Item 1M -Are you registered with a foreign financial regulatory authority
(Y/N/null). -->
Q1M="answerYNType[0..1]"
  <!-- This node has Firm's response to Part1A Item 1N-Are you a public reporting company under Sections 12 or 15(d) of
the Securities Exchange Act of 1934 (Y/N/null). -->
Q1N="answerYNType[0..1]"
  <!-- This node has Firm's response to Part1A Item 1O-Did you have $1 billion or more in assets on the last day of your
most recent fiscal year. -->
Q1O="answerYNType[0..1]"
  <!-- This node has Firm's response to Part1A Item 1O. If yes, what is the approximate amount of your assets -->
Q1ODESC="Str128[0..1]"
  <!-- This node has Firm's response to Part1A Item 1P- Legal Entity Identifier. -->
Q1P="Str20[0..1]"
  <!-- This node has the Total number of offices, other than your Principal Office and place of business, Part1A Item
1.F.(5) -->
Q1F5="Int5[0..1]">
    <!-- This node has Firm's response to Schedule D Section 1I Website Address-include all if there are multiple
    reported. -->
    <WebAddrs> [1]
        <WebAddr> Str128 </WebAddr> [0..*]
    </WebAddrs>
</...>
```

Schema Component Representation

```
<xsd:complexType name="Item1Type">
    <xsd:sequence>
        <xsd:element name="WebAddrs" maxOccurs="1">
            <xsd:complexType>
                <xsd:sequence>
                    <xsd:element name="WebAddr" type="Str128" minOccurs="0" maxOccurs="unbounded"/>
                </xsd:sequence>
            </xsd:complexType>
        </xsd:element>
    </xsd:sequence>
    <xsd:attribute name="Q1I" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q1M" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q1N" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q1O" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q1ODESC" type="Str128" use="optional"/>
    <xsd:attribute name="Q1P" type="Str20" use="optional"/>
    <xsd:attribute name="Q1F5" type="Int5" use="optional"/>
</xsd:complexType>
```

Complex Type: Item2Type

Super-types:	None
Sub-types:	None

Name	Item2Type
Abstract	no

XML Instance Representation

```
<...
  <!-- This node has Firm's most recent response to Part 1B Item2B(1). Bond/Capital Information - Name of Issuing
Insurance Company. -->
Q1B2B1="Str128[0..1]"
  <!-- This node has Firm's most recent response to Part 1B Item2B(2). Bond/Capital Information - Amount of Bond. -->
Q1B2B2="Str128[0..1]"
  <!-- This node has Firm's most recent response to Part 1B Item2B(4). Bond/Capital Information - If required by your
home state, are you in compliance with your home state's minimum capital requirements (Y/N/null). -->
Q1B2B4="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item2Type">
   <xsd:attribute name="Q1B2B1" type="Str128" use="optional"/>
   <xsd:attribute name="Q1B2B2" type="Str128" use="optional"/>
   <xsd:attribute name="Q1B2B4" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item3AType

Super-types:	None
Sub-types:	None

Name	Item3AType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 3A-How are you organized (Description). -->
OrgFormNm="Str128[1]"
 <!-- This node has Firm's response to Part1A Item 3A Other textbox-How are you organized Other (specify). -->
OrgFormOthNm="Str50[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item3AType">
   <xsd:attribute name="OrgFormNm" type="Str128" use="required"/>
   <xsd:attribute name="OrgFormOthNm" type="Str50" use="optional"/>
</xsd:complexType>
```

Complex Type: Item3BType

Super-types:	None
Sub-types:	None

Name	Item3BType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part 1A Item 3B-In what month does your fiscal year end each year?. -->
Q3B="Str128[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item3BType">
   <xsd:attribute name="Q3B" type="Str128" use="optional"/>
</xsd:complexType>
```

Complex Type: Item3CType

Super-types:	None
Sub-types:	None

Name	Item3CType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 3C-State Drop-down-Under the laws of what state or country are you
organized (Code). -->
StateCD="StateCdType[0..1]"
 <!-- This node has Firm's response to Part1A Item 3C-State Drop-down-Under the laws of what state or country are you
organized (Code). -->
CntryNm="Str50[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item3CType">
   <xsd:attribute name="StateCD" type="StateCdType" use="optional"/>
   <xsd:attribute name="CntryNm" type="Str50" use="optional"/>
</xsd:complexType>
```

Complex Type: Item5AType

Super-types:	None
Sub-types:	None

Name	Item5AType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 5A-Approximately how many employees do you have. -->
TtlEmp="Int10[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item5AType">
   <xsd:attribute name="TtlEmp" type="Int10" use="optional"/>
</xsd:complexType>
```

Complex Type: Item5BType

Super-types:	None
Sub-types:	None

Name	Item5BType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 5B(1)-Approximately how many of the employees reported in 5.A.
perform investment advisory functions (including research). -->
Q5B1="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5B(2)-Approximately how many of the employees reported in 5.A. are
registered representatives of a broker-dealer. -->
Q5B2="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5B(3)-Approximately how many of the employees reported in 5.A. are
registered with one or more state securities authorities as investment adviser representatives. -->
Q5B3="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5B(4)-Approximately how many of the employees reported in 5.A. are
registered with one or more state securities authorities as investment adviser representatives for an investment adviser
other than you. -->
Q5B4="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5B(5)-Approximately how many of the employees reported in 5.A. are
licensed agents of an insurance company or agency. -->
Q5B5="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5B(6)-Approximately how many firms or other persons solicit advisory
clients on your behalf. -->
Q5B6="Int10[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item5BType">
   <xsd:attribute name="Q5B1" type="Int10" use="optional"/>
   <xsd:attribute name="Q5B2" type="Int10" use="optional"/>
   <xsd:attribute name="Q5B3" type="Int10" use="optional"/>
   <xsd:attribute name="Q5B4" type="Int10" use="optional"/>
   <xsd:attribute name="Q5B5" type="Int10" use="optional"/>
   <xsd:attribute name="Q5B6" type="Int10" use="optional"/>
</xsd:complexType>
```

Complex Type: Item5CType

Super-types:	None
Sub-types:	None

Name	Item5CType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 5C(1)-To approximately how many clients did you provide investment
advisory services during your most recently completed fiscal year. -->
Q5C1="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5C(1)-If more than 100, how many (round to the nearest 100). -->
Q5C1Oth="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5C(2)-Approximately what percentage of your clients are non-United
States persons. -->
Q5C2="Int3[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item5CType">
   <xsd:attribute name="Q5C1" type="Str128" use="optional"/>
   <xsd:attribute name="Q5C1Oth" type="Int10" use="optional"/>
   <xsd:attribute name="Q5C2" type="Int3" use="optional"/>
</xsd:complexType>
```

Complex Type: Item5DType

Super-types:	None
Sub-types:	None

Name	Item5DType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 5D(1)(a)-Individuals (other than high net worth individuals) in
10/2012 version -->
Q5D1A="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(b)-High net worth individuals in 10/2012 version -->
Q5D1B="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(c)-Banking or thrift institutions in 10/2012 version -->
Q5D1C="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(d)-Investment companies in 10/2012 version -->
Q5D1D="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(e)-Business development companies in 10/2012 version -->
Q5D1E="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(f)-Pooled investment vehicles (other than investment companies)
in 10/2012 version -->
Q5D1F="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(g)-Pension and profit sharing plans (but not the plan
participants) in 10/2012 version -->
Q5D1G="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(h)-Charitable organizations in 10/2012 version -->
Q5D1H="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(i)-Corporations or other businesses not listed above in 10/2012
version -->
Q5D1I="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(j)-State or municipal government entities in 10/2012 version --
>
Q5D1J="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(k)-Other investment advisers in 10/2012 version -->
Q5D1K="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(l)-Insurance companies in 10/2012 version -->
Q5D1L="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(m)-Other in 10/2012 version -->
Q5D1M="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(m)-Other textbox in 10/2012 version -->
Q5D1MOth="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(2)(a)-Individuals (other than high net worth individuals) in
10/2012 version -->
Q5D2A="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(2)(b)-High net worth individuals in 10/2012 version -->
Q5D2B="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(2)(c)-Banking or thrift institutions in 10/2012 version -->
Q5D2C="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(2)(d)-Investment companies in 10/2012 version -->
Q5D2D="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(2)(e)-Business development companies in 10/2012 version -->
Q5D2E="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(2)(f)-Pooled investment vehicles (other than investment companies)
in 10/2012 version -->
Q5D2F="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(2)(g)-Pension and profit sharing plans (but not the plan
participants) in 10/2012 version -->
Q5D2G="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(2)(h)-Charitable organizations in 10/2012 version -->
Q5D2H="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(2)(i)-Corporations or other businesses not listed above in 10/2012
version -->
Q5D2I="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(2)(j)-State or municipal government entities in 10/2012 version --
>
Q5D2J="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(2)(k)-Other investment advisers in 10/2012 version -->
Q5D2K="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(2)(l)-Insurance companies in 10/2012 version -->
Q5D2L="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(2)(m)-Other in 10/2012 version -->
Q5D2M="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(2)(m)-Other textbox in 10/2012 version -->
Q5D2MOth="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(a)(1)- Number of clients -Individuals (other than high net
worth individuals) -->
Q5DA1="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(a)(2)- Fewer than 5 clients -Individuals (other than high net
worth individuals) -->
Q5DA2="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(a)(3)- Regulatory Assets under Management -Individuals (other
```

```
than high net worth individuals) -->
Q5DA3="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(b)(1)- Number of clients -Individuals high net worth individuals -
->
Q5DB1="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(b)(2)- Fewer than 5 clients - high net worth individuals -->
Q5DB2="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(b)(3)- Regulatory Assets under Management -Individuals high net
worth individuals -->
Q5DB3="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(c)(1)-Banking or thrift institutions -->
Q5DC1="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(c)(2)-Banking or thrift institutions -->
Q5DC2="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(c)(3)-Banking or thrift institutions -->
Q5DC3="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(d)(1)- Investment companies -->
Q5DD1="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(d)(3)- Investment companies -->
Q5DD3="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(e)(1)- Business development companies -->
Q5DE1="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(e)(3)- Business development companies -->
Q5DE3="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(f)(1)- Pooled investment vehicles (other than investment companies
and Business development companies) -->
Q5DF1="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(f)(3)- Pooled investment vehicles (other than investment companies
and Business development companies) -->
Q5DF3="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(g)(1)- Pension and profit sharing plans (but not the plan
participants) -->
Q5DG1="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(g)(2)- Pension and profit sharing plans (but not the plan
participants) -->
Q5DG2="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(g)(3)- Pension and profit sharing plans (but not the plan
participants) -->
Q5DG3="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(h)(1)- Charitable organizations -->
Q5DH1="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(h)(2)- Charitable organizations -->
Q5DH2="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(h)(3)- Charitable organizations -->
Q5DH3="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(i)(1)- State or municipal government entities (including
government pension plans) -->
Q5DI1="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(1)(i)(2)- State or municipal government entities (including
government pension plans) -->
Q5DI2="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(i)(3)- State or municipal government entities (including
government pension plans) -->
Q5DI3="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(j)(1)- Other investment advisers -->
Q5DJ1="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(j)(2)- Other investment advisers -->
Q5DJ2="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(j)(3)- Other investment advisers -->
Q5DJ3="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(k)(1)- Insurance companies -->
Q5DK1="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(k)(2)- Insurance companies -->
Q5DK2="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(k)(3)- Insurance companies -->
Q5DK3="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(l)(1)- Sovereign wealth funds and foreign official institutions --
>
Q5DL1="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(l)(2)- Sovereign wealth funds and foreign official institutions --
>
Q5DL2="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(l)(3)- Sovereign wealth funds and foreign official institutions --
>
Q5DL3="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(m)(1)- Corporations or other businesses not listed above -->
Q5DM1="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(m)(2)- Corporations or other businesses not listed above -->
Q5DM2="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(m)(3)- Corporations or other businesses not listed above -->
```

```
Q5DM3="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(n)(1)- Other -->
Q5DN1="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(n)(2)- Other -->
Q5DN2="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(n)(3)- Other -->
Q5DN3="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(n)(3)- Other text box -->
Q5DN3Oth="Str128[0..1]"/>
```

```
Q5DM3="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(n)(1)- Other -->
Q5DN1="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(n)(2)- Other -->
Q5DN2="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(n)(3)- Other -->
Q5DN3="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5D(n)(3)- Other text box -->
Q5DN3Oth="Str128[0..1]"/>
```

Schema Component Representation

```xsd
<xsd:complexType name="Item5DType">
   <xsd:attribute name="Q5D1A" type="Str128" use="optional"/>
   <xsd:attribute name="Q5D1B" type="Str128" use="optional"/>
   <xsd:attribute name="Q5D1C" type="Str128" use="optional"/>
   <xsd:attribute name="Q5D1D" type="Str128" use="optional"/>
   <xsd:attribute name="Q5D1E" type="Str128" use="optional"/>
   <xsd:attribute name="Q5D1F" type="Str128" use="optional"/>
   <xsd:attribute name="Q5D1G" type="Str128" use="optional"/>
   <xsd:attribute name="Q5D1H" type="Str128" use="optional"/>
   <xsd:attribute name="Q5D1I" type="Str128" use="optional"/>
   <xsd:attribute name="Q5D1J" type="Str128" use="optional"/>
   <xsd:attribute name="Q5D1K" type="Str128" use="optional"/>
   <xsd:attribute name="Q5D1L" type="Str128" use="optional"/>
   <xsd:attribute name="Q5D1M" type="Str128" use="optional"/>
   <xsd:attribute name="Q5D1MOth" type="Str128" use="optional"/>
   <xsd:attribute name="Q5D2A" type="Str128" use="optional"/>
   <xsd:attribute name="Q5D2B" type="Str128" use="optional"/>
   <xsd:attribute name="Q5D2C" type="Str128" use="optional"/>
   <xsd:attribute name="Q5D2D" type="Str128" use="optional"/>
   <xsd:attribute name="Q5D2E" type="Str128" use="optional"/>
   <xsd:attribute name="Q5D2F" type="Str128" use="optional"/>
   <xsd:attribute name="Q5D2G" type="Str128" use="optional"/>
   <xsd:attribute name="Q5D2H" type="Str128" use="optional"/>
   <xsd:attribute name="Q5D2I" type="Str128" use="optional"/>
   <xsd:attribute name="Q5D2J" type="Str128" use="optional"/>
   <xsd:attribute name="Q5D2K" type="Str128" use="optional"/>
   <xsd:attribute name="Q5D2L" type="Str128" use="optional"/>
   <xsd:attribute name="Q5D2M" type="Str128" use="optional"/>
   <xsd:attribute name="Q5D2MOth" type="Str128" use="optional"/>
   <xsd:attribute name="Q5DA1" type="Int10" use="optional"/>
   <xsd:attribute name="Q5DA2" type="Str128" use="optional"/>
   <xsd:attribute name="Q5DA3" type="Decimal17P2" use="optional"/>
   <xsd:attribute name="Q5DB1" type="Int10" use="optional"/>
   <xsd:attribute name="Q5DB2" type="Str128" use="optional"/>
   <xsd:attribute name="Q5DB3" type="Decimal17P2" use="optional"/>
   <xsd:attribute name="Q5DC1" type="Int10" use="optional"/>
   <xsd:attribute name="Q5DC2" type="Str128" use="optional"/>
   <xsd:attribute name="Q5DC3" type="Decimal17P2" use="optional"/>
   <xsd:attribute name="Q5DD1" type="Int10" use="optional"/>
   <xsd:attribute name="Q5DD3" type="Decimal17P2" use="optional"/>
   <xsd:attribute name="Q5DE1" type="Int10" use="optional"/>
   <xsd:attribute name="Q5DE3" type="Decimal17P2" use="optional"/>
   <xsd:attribute name="Q5DF1" type="Int10" use="optional"/>
   <xsd:attribute name="Q5DF3" type="Decimal17P2" use="optional"/>
   <xsd:attribute name="Q5DG1" type="Int10" use="optional"/>
   <xsd:attribute name="Q5DG2" type="Str128" use="optional"/>
   <xsd:attribute name="Q5DG3" type="Decimal17P2" use="optional"/>
   <xsd:attribute name="Q5DH1" type="Int10" use="optional"/>
   <xsd:attribute name="Q5DH2" type="Str128" use="optional"/>
   <xsd:attribute name="Q5DH3" type="Decimal17P2" use="optional"/>
   <xsd:attribute name="Q5DI1" type="Int10" use="optional"/>
   <xsd:attribute name="Q5DI2" type="Str128" use="optional"/>
   <xsd:attribute name="Q5DI3" type="Decimal17P2" use="optional"/>
   <xsd:attribute name="Q5DJ1" type="Int10" use="optional"/>
   <xsd:attribute name="Q5DJ2" type="Str128" use="optional"/>
   <xsd:attribute name="Q5DJ3" type="Decimal17P2" use="optional"/>
   <xsd:attribute name="Q5DK1" type="Int10" use="optional"/>
   <xsd:attribute name="Q5DK2" type="Str128" use="optional"/>
   <xsd:attribute name="Q5DK3" type="Decimal17P2" use="optional"/>
   <xsd:attribute name="Q5DL1" type="Int10" use="optional"/>
   <xsd:attribute name="Q5DL2" type="Str128" use="optional"/>
   <xsd:attribute name="Q5DL3" type="Decimal17P2" use="optional"/>
   <xsd:attribute name="Q5DM1" type="Int10" use="optional"/>
   <xsd:attribute name="Q5DM2" type="Str128" use="optional"/>
   <xsd:attribute name="Q5DM3" type="Decimal17P2" use="optional"/>
   <xsd:attribute name="Q5DN1" type="Int10" use="optional"/>
   <xsd:attribute name="Q5DN2" type="Str128" use="optional"/>
   <xsd:attribute name="Q5DN3" type="Decimal17P2" use="optional"/>
   <xsd:attribute name="Q5DN3Oth" type="Str128" use="optional"/>
</xsd:complexType>
```

Complex Type: Item5EType

Super-types:	None
Sub-types:	None

Name	Item5EType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 5E(1)-A percentage of assets under your management (Y/N) Display a
'Y' when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
 Q5E1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5E(2)-Hourly charges (Y/N) Display a 'Y' when the checkbox is
selected. Display an 'N' when the checkbox is not selected. -->
 Q5E2="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5E(3)-Subscription fees (for a newsletter or periodical) (Y/N)
Display a 'Y' when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
 Q5E3="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5E(4)-Fixed fees (other than subscription fees) (Y/N) Display a 'Y'
when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
 Q5E4="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5E(5)-Commissions (Y/N) Display a 'Y' when the checkbox is selected.
Display an 'N' when the checkbox is not selected. -->
 Q5E5="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5E(6)-Performance-based fees (Y/N) Display a 'Y' when the checkbox is
selected. Display an 'N' when the checkbox is not selected. -->
 Q5E6="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5E(7)-Other (Y/N) Display a 'Y' when the checkbox is selected.
Display an 'N' when the checkbox is not selected. -->
 Q5E7="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5E(7)-Other (specify). -->
 Q5E7Oth="Str64[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item5EType">
   <xsd:attribute name="Q5E1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q5E2" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q5E3" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q5E4" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q5E5" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q5E6" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q5E7" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q5E7Oth" type="Str64" use="optional"/>
</xsd:complexType>
```

Complex Type: Item5FType

Super-types:	None
Sub-types:	None

Name	Item5FType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 5F(1)-Do you provide continuous and regular supervisory or management
services to securities portfolios (Y/N/null). -->
Q5F1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5F2a-Discretionary U.S. Dollar Amount. -->
Q5F2A="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5F2b-Non-Discretionary U. S. Dollar Amount. -->
Q5F2B="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5F2c-Total U.S. Dollar Amount. -->
Q5F2C="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5F2d-Discretionary Total Number of Accounts. -->
Q5F2D="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5F2e-Non-Discretionary Total Number of Accounts. -->
Q5F2E="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5F2f-Total Number of Accounts. -->
Q5F2F="Int10[0..1]"
 <!-- This node has Firm's response to Part1A Item 5F(3)- Approximate amount of total regulatory assets under management
(reported in Item 5.F.(2)(c) ) attributable to clients who are non-United States persons -->
Q5F3="Decimal17P2[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item5FType">
   <xsd:attribute name="Q5F1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q5F2A" type="Decimal17P2" use="optional"/>
   <xsd:attribute name="Q5F2B" type="Decimal17P2" use="optional"/>
   <xsd:attribute name="Q5F2C" type="Decimal17P2" use="optional"/>
   <xsd:attribute name="Q5F2D" type="Int10" use="optional"/>
   <xsd:attribute name="Q5F2E" type="Int10" use="optional"/>
   <xsd:attribute name="Q5F2F" type="Int10" use="optional"/>
   <xsd:attribute name="Q5F3" type="Decimal17P2" use="optional"/>
</xsd:complexType>
```

Complex Type: Item5GType

Super-types:	None
Sub-types:	None

Name	Item5GType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 5G(1)-Financial planning services (Y/N) Display a 'Y' when the
checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q5G1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5G(2)-Portfolio management for individuals and/or small businesses
(Y/N) Display a 'Y' when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q5G2="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5G(3)-Portfolio management for investment companies (Y/N) Display a
'Y' when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q5G3="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5G(4)-Portfolio management for pooled investment vehicles (other than
investment companies) (Y/N) Display a 'Y' when the checkbox is selected. Display an 'N' when the checkbox is not
selected. -->
Q5G4="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5G(5)-Portfolio management for businesses (other than small
businesses) or institutional clients (other than registered investment companies and other pooled investment vehicles
and) (Y/N) Display a 'Y' when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q5G5="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5G(6)-Pension consulting services (Y/N) Display a 'Y' when the
checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q5G6="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5G(7)-Selection of other advisers (Y/N) Display a 'Y' when the
checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q5G7="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5G(8)-Publication of periodicals or newsletters (Y/N) Display a 'Y'
when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q5G8="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5G(9)-Security ratings or pricing services (Y/N) Display a 'Y' when
the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q5G9="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5G(10)-Market timing services (Y/N) Display a 'Y' when the checkbox
is selected. Display an 'N' when the checkbox is not selected. -->
Q5G10="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5G(11)-Educational seminars/workshops (Y/N) Display a 'Y' when the
checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q5G11="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5G(12)-Other (Y/N) Display a 'Y' when the checkbox is selected.
Display an 'N' when the checkbox is not selected. -->
Q5G12="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5G(12) Other (specify). -->
Q5G12Oth="Str128[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item5GType">
  <xsd:attribute name="Q5G1" type="answerYNType" use="optional"/>
  <xsd:attribute name="Q5G2" type="answerYNType" use="optional"/>
  <xsd:attribute name="Q5G3" type="answerYNType" use="optional"/>
  <xsd:attribute name="Q5G4" type="answerYNType" use="optional"/>
  <xsd:attribute name="Q5G5" type="answerYNType" use="optional"/>
  <xsd:attribute name="Q5G6" type="answerYNType" use="optional"/>
  <xsd:attribute name="Q5G7" type="answerYNType" use="optional"/>
  <xsd:attribute name="Q5G8" type="answerYNType" use="optional"/>
  <xsd:attribute name="Q5G9" type="answerYNType" use="optional"/>
  <xsd:attribute name="Q5G10" type="answerYNType" use="optional"/>
  <xsd:attribute name="Q5G11" type="answerYNType" use="optional"/>
  <xsd:attribute name="Q5G12" type="answerYNType" use="optional"/>
  <xsd:attribute name="Q5G12Oth" type="Str128" use="optional"/>
</xsd:complexType>
```

Complex Type: Item5HType

Super-types:	None
Sub-types:	None

Name	Item5HType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 5H-If you provide financial planning services, to how many clients
 did you provide these services during your last fiscal year. -->
Q5H="Str128[0..1]"
 <!-- This node has Firm's response to Part1A Item 5H-If more than 500, how many (round to the nearest 500). -->
Q5HMT500="Int10[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item5HType">
    <xsd:attribute name="Q5H" type="Str128" use="optional"/>
    <xsd:attribute name="Q5HMT500" type="Int10" use="optional"/>
</xsd:complexType>
```

Complex Type: Item5IType

Super-types:	None
Sub-types:	None

Name	Item5IType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 5I(1)-sponsor the wrap fee program (Y/N) Display a 'Y' when the
 checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q5I1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5I(2)(a) - amount of your regulatory assets under management
 attributable to acting as sponsor to a wrap fee program -->
Q5I2A="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5I(2)(b) - amount of your regulatory assets under management
 attributable to acting as portfolio manager for a wrap fee program -->
Q5I2B="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 5I(2)(c) - amount of your regulatory assets under management
 attributable to acting as sponsor to and portfolio manager for the same wrap fee program -->
Q5I2C="Decimal17P2[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item5IType">
    <xsd:attribute name="Q5I1" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q5I2A" type="Decimal17P2" use="optional"/>
    <xsd:attribute name="Q5I2B" type="Decimal17P2" use="optional"/>
    <xsd:attribute name="Q5I2C" type="Decimal17P2" use="optional"/>
</xsd:complexType>
```

Complex Type: Item5JType

Super-types:	None
Sub-types:	None

Name	Item5JType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 5J(1)-In response to Item 4.B. of Part 2A of Form ADV, do you
indicate that you provide investment advice only with respect to limited types of investments (Y/N/null). -->
Q5J1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 5J(2)- Do you report client assets in Item 4.E. of Part 2A that are
computed using a different method than the method used to compute your regulatory assets under management? (Y/N/null) --
>
Q5J2="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item5JType">
   <xsd:attribute name="Q5J1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q5J2" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item6AType

Super-types:	None
Sub-types:	None

Name	Item6AType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 6A(1)- broker-dealer (registered or unregistered) (Y/N) Display a 'Y'
when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q6A1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6A(2)-registered representative of a broker-dealer (Y/N) Display a
'Y' when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q6A2="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6A(3)- commodity pool operator or commodity trading advisor (whether
registered or exempt from registration) (Y/N) Display a 'Y' when the checkbox is selected. Display an 'N' when the
checkbox is not selected. -->
Q6A3="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6A(4)-futures commission merchant (Y/N) Display a 'Y' when the
checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q6A4="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6A(5)-real estate broker, dealer, or agent (Y/N) Display a 'Y' when
the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q6A5="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6A(6)-insurance broker or agent (Y/N) Display a 'Y' when the checkbox
is selected. Display an 'N' when the checkbox is not selected. -->
Q6A6="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6A(7)-bank (including a separately identifiable department or
division of a bank) (Y/N) Display a 'Y' when the checkbox is selected. Display an 'N' when the checkbox is not selected.
-->
Q6A7="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6A(8)-trust company (Y/N) Display a 'Y' when the checkbox is
selected. Display an 'N' when the checkbox is not selected. -->
Q6A8="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6A(9)-registered municipal advisor (Y/N) Display a 'Y' when the
checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q6A9="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6A(10)-registered security-based swap dealer (Y/N) Display a 'Y' when
the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q6A10="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6A(11)-major security-based swap participant (Y/N) Display a 'Y' when
the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q6A11="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6A(12)-accountant or accounting firm (Y/N) Display a 'Y' when the
checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q6A12="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6A(13)-lawyer or law firm (Y/N) Display a 'Y' when the checkbox is
selected. Display an 'N' when the checkbox is not selected. -->
Q6A13="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6A(14)-Other financial product salesperson Display a 'Y' when the
checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q6A14="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6A(14)-Other text when financial product salesperson is selected 'Y'.
-->
Q6A14Oth="Str50[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item6AType">
   <xsd:attribute name="Q6A1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6A2" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6A3" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6A4" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6A5" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6A6" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6A7" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6A8" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6A9" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6A10" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6A11" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6A12" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6A13" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6A14" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6A14Oth" type="Str50" use="optional"/>
</xsd:complexType>
```

Complex Type: Item6BType

Super-types:	None

Sub-types:	None

Name	Item6BType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 6B(1)-Are you actively engaged in any other business not listed in
Item 6.A. (other than giving investment advice) (Y/N). -->
Q6B1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6B(3)-Do you sell products or provide services other than investment
advice to your advisory clients (Y/N). -->
Q6B3="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 6B(2)-If yes, is this other business your primary business
(Y/N/null). -->
Q6B2="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item6BType">
   <xsd:attribute name="Q6B1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6B3" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q6B2" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item7AType

Super-types:	None
Sub-types:	None

Name	Item7AType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 7A(1)-broker-dealer, municipal securities dealer, or government
securities broker or dealer (registered or unregistered) (Y/N). -->
Q7A1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 7A(2)-other investment adviser (including financial planners) (Y/N).
-->
Q7A2="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 7A(3)-registered municipal advisor. -->
Q7A3="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 7A(4)-registered security-based swap dealer. -->
Q7A4="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 7A(5)-major security-based swap participant. -->
Q7A5="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 7A(6)- commodity pool operator or commodity trading advisor (whether
registered or exempt from registration) (Y/N). -->
Q7A6="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 7A(7)-futures commission merchant. -->
Q7A7="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 7A(8)-banking or thrift institution (Y/N). -->
Q7A8="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 7A(9)-trust company. -->
Q7A9="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 7A(10)-accountant or accounting firm (Y/N). -->
Q7A10="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 7A(11)-lawyer or law firm (Y/N). -->
Q7A11="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 7A(12)-insurance company or agency (Y/N). -->
Q7A12="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 7A(13)-pension consultant (Y/N). -->
Q7A13="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 7A(14)-real estate broker or dealer (Y/N). -->
Q7A14="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 7A(15)-sponsor or syndicator of limited partnerships (or equivalent),
excluding pooled investment vehicles (Y/N). -->
Q7A15="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 7A(16)-sponsor, general partner, managing member (or equivalent) of
pooled investment vehicles (Y/N). -->
Q7A16="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item7AType">
    <xsd:attribute name="Q7A1" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q7A2" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q7A3" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q7A4" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q7A5" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q7A6" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q7A7" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q7A8" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q7A9" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q7A10" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q7A11" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q7A12" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q7A13" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q7A14" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q7A15" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q7A16" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item7BType

Super-types:	None
Sub-types:	None

Name	Item7BType
Abstract	no

```
<...
 <!-- This node has Firm's response to Part1A Item 7B-Are you an adviser to any private fund (Y/N/null). -->
Q7B="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item7BType">
   <xsd:attribute name="Q7B" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item8AType

Super-types:	None
Sub-types:	None

Name	Item8AType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 8A(1)-buy securities for yourself from advisory clients, or sell
securities you own to advisory clients (principal transactions) (Y/N/null). -->
Q8A1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 8A(2)-buy or sell for yourself securities (other than shares of
mutual funds) that you also recommend to advisory clients (Y/N/null). -->
Q8A2="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 8A(3)-recommend securities (or other investment products) to advisory
clients in which you or any related person has some other proprietary (ownership) interest (other than those mentioned
in Items 8.A(1) or (2)) (Y/N/null). -->
Q8A3="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item8AType">
   <xsd:attribute name="Q8A1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q8A2" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q8A3" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item8BType

Super-types:	None
Sub-types:	None

Name	Item8BType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 8B(1)-as a broker-dealer or registered representative of a broker-
dealer, execute securities trades for brokerage customers in which advisory client securities are sold to or bought from
the brokerage customer (agency cross transactions) (Y/N/null). -->
Q8B1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 8B(2)-recommend purchase of securities to advisory clients for which
you or any related person serves as underwriter, general or managing partner, or purchaser representative (Y/N/null). --
>
Q8B2="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 8B(3)-recommend purchase or sale of securities to advisory clients
for which you or any related person has any other sales interest (other than the receipt of sales commissions as a
broker or registered representative of a broker-dealer) (Y/N/null). -->
Q8B3="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item8BType">
   <xsd:attribute name="Q8B1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q8B2" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q8B3" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item8CType

Super-types:	None
Sub-types:	None

Name	Item8CType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 8C(1)-securities to be bought or sold for a client's account
(Y/N/null). -->
Q8C1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 8C(2)-amount of securities to be bought or sold for a client's
account (Y/N/null). -->
Q8C2="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 8C(3)-broker or dealer to be used for a purchase or sale of
securities for a client's account (Y/N/null). -->
Q8C3="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 8C(4)-commission rates to be paid to a broker or dealer for a
client's securities transactions (Y/N/null). -->
Q8C4="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item8CType">
   <xsd:attribute name="Q8C1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q8C2" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q8C3" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q8C4" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item8DType

Super-types:	None
Sub-types:	None

Name	Item8DType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 8D-If you answer "yes" to 8C.(3), are any of the brokers or dealers
related persons (Y/N/null). -->
Q8D="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item8DType">
   <xsd:attribute name="Q8D" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item8EType

Super-types:	None
Sub-types:	None

Name	Item8EType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 8E -Do you or any related person recommend brokers or dealers to
clients (Y/N/null). -->
Q8E="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item8EType">
   <xsd:attribute name="Q8E" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item8FType

Super-types:	None
Sub-types:	None

Name	Item8FType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 8F-If you answer "yes" to 8E, are any of the brokers or dealers
related persons (Y/N/null). -->
Q8F="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item8FType">
   <xsd:attribute name="Q8F" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item8GType

Super-types:	None
Sub-types:	None

Name	Item8GType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 8G(1)-Do you or any related person receive research or other products
or services other than execution from a broker-dealer or a third party ("soft dollar benefits") in connection with
client securities transactions (Y/N/null). -->
Q8G1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 8G(2)-If "yes" to G.(1), are all the "soft dollar benefits" you or
any related persons receive eligible "research or brokerage services" under section 28(e) of the Securities Exchange Act
of 1934 (Y/N/null). -->
Q8G2="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item8GType">
   <xsd:attribute name="Q8G1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q8G2" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item8HType

Super-types:	None
Sub-types:	None

Name	Item8HType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 8H-Do you or any related person, directly or indirectly, compensate
any person for client referrals (Y/N/null) in 10/2012 version -->
Q8H="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 8H(1) (new revision) -->
Q8H1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 8H(2) (new revision) -->
Q8H2="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item8HType">
   <xsd:attribute name="Q8H" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q8H1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q8H2" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item8IType

Super-types:	None
Sub-types:	None

Name	Item8IType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 8I-Do you or any related person, directly or indirectly, receive
compensation from any person for client referrals(Y/N/null). -->
Q8I="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item8IType">
   <xsd:attribute name="Q8I" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item9A1Type

Super-types:	None
Sub-types:	None

Name	Item9A1Type
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 9A(1)(a)-cash or bank accounts (Y/N/null). -->
Q9A1A="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 9A(1)(b)-securities (Y/N/null). -->
Q9A1B="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 9A(2)(a)-U.S. Dollar Amount. -->
Q9A2A="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 9A(2)(b)-Total Number of Clients. -->
Q9A2B="Int38[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item9A1Type">
   <xsd:attribute name="Q9A1A" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q9A1B" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q9A2A" type="Decimal17P2" use="optional"/>
   <xsd:attribute name="Q9A2B" type="Int38" use="optional"/>
</xsd:complexType>
```

Complex Type: Item9BType

Super-types:	None
Sub-types:	None

Name	Item9BType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 9B(1)(a)-cash or bank accounts (Y/N/null). -->
Q9B1A="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 9B(1)(b)-securities (Y/N/null). -->
Q9B1B="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 9B(2)(a)-U.S. Dollar Amount. -->
Q9B2A="Decimal17P2[0..1]"
 <!-- This node has Firm's response to Part1A Item 9B(2)(b)-Total Number of Clients. -->
Q9B2B="Int38[0..1]"/>
```

```
<xsd:complexType name="Item9BType">
   <xsd:attribute name="Q9B1A" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q9B1B" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q9B2A" type="Decimal17P2" use="optional"/>
   <xsd:attribute name="Q9B2B" type="Int38" use="optional"/>
</xsd:complexType>
```

Complex Type: Item9CType

Super-types:	None
Sub-types:	None

Name	Item9CType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 9C(1)- A qualified custodian(s) sends account statements at least
quarterly to the investors in the pooled investment vehicle(s) you manage. -->
Q9C1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 9C(2)- An independent public accountant audits annually the pooled
investment vehicle(s) that you manage and the audited financial statements are distributed to the investors in the
pools. -->
Q9C2="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 9C(3)- An independent public accountant conducts an annual surprise
examination of client funds and securities. -->
Q9C3="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 9C(4)- An independent public accountant prepares an internal control
report with respect to custodial services when you or your related persons are qualified custodians for client funds and
securities. -->
Q9C4="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item9CType">
   <xsd:attribute name="Q9C1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q9C2" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q9C3" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q9C4" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item9DType

Super-types:	None
Sub-types:	None

Name	Item9DType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 9D(1)-you act as a qualified custodian (Y/N/null). -->
Q9D1="answerYNType[0..1]"
 <!-- This node has Firm's response to Part1A Item 9D(2)-Do you or your related persons act as qualified custodians for
your clients in connection with advisory services you provide to clients your related persons act as qualified
custodians (Y/N/null). -->
Q9D2="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item9DType">
   <xsd:attribute name="Q9D1" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q9D2" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: Item9EType

Super-types:	None
Sub-types:	None

Name	Item9EType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 9E-If you are filing your annual updating amendment and you were
subject to a surprise examination by an independent public accountant during your last fiscal year, provide the date
(YYYY-MM) the examination commenced. -->
Q9E="xsd:gYearMonth[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item9EType">
   <xsd:attribute name="Q9E" type="xsd:gYearMonth" use="optional"/>
</xsd:complexType>
```

Complex Type: Item9FType

Super-types:	None
Sub-types:	None

Name	Item9FType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's response to Part1A Item 9F-If you or your related persons have custody of client funds or
securities, how many persons, including, but not limited to, you and your related persons, act as qualified custodians
for your clients in connection with advisory services you provide to clients (Y/N/null). -->
Q9F="Int38[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="Item9FType">
   <xsd:attribute name="Q9F" type="Int38" use="optional"/>
</xsd:complexType>
```

Complex Type: ItemGType

Super-types:	None
Sub-types:	None

Name	ItemGType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's most recent response to Part 1B Item2G. Other Business Activities (1) Are you actively
engaged in business as a(n): Tax preparer
     Display a 'Y' when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q1BG1TaxPrprr="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item2G. Business Activities (1) Are you actively engaged in
business as a(n): Issuer of securities
     Display a 'Y' when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q1BG1IssueScrts="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item2G. Business Activities (1) Are you actively engaged in
business as a(n): Sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
     Display a 'Y' when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q1BG1XcldPoolInvmt="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item2G. Business Activities (1) Are you actively engaged in
business as a(n): Sponsor, general partner, managing member (or equivalent) of pooled investment vehicles
     Display a 'Y' when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q1BG1PoolInvmt="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item2G. Business Activities (1) Are you actively engaged in
business as a(n): Real estate adviser
     Display a 'Y' when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q1BG1ReAdvsr="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item2G(2) If you any advisory affiliate, or any management
person are actively engaged in any business other than those listed in Item 6.A. of Part 1 A or Item 2.G(1) of Part 1B,
described the business and the approximate amount of time spend on that business. -->
Q1B2G2="Str512[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="ItemGType">
   <xsd:attribute name="Q1BG1TaxPrprr" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q1BG1IssueScrts" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q1BG1XcldPoolInvmt" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q1BG1PoolInvmt" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q1BG1ReAdvsr" type="answerYNType" use="optional"/>
   <xsd:attribute name="Q1B2G2" type="Str512" use="optional"/>
</xsd:complexType>
```

Complex Type: ItemHType

Super-types:	None
Sub-types:	None

Name	ItemHType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has most recent response to Part 1B Item2H. If you provide financial planning services, the investments
made based on those services at the end of your last fiscal year totaled: Securities Investments. -->
Q1B2HScrtsNvsmt="Str128[0..1]"
 <!-- This node has most recent response to Part 1B Item2H. If you provide financial planning services, the investments
made based on those services at the end of your last fiscal year totaled: If securities investments are over $5,000,000,
how much. -->
Q1B2HScrtsNvsmtAm="Decimal14P2[0..1]"
 <!-- This node has Firm'smost recent response to Part 1B Item2H. If you provide financial planning services, the
investments made based on those services at the end of your last fiscal year totaled: Non-Securities Investments. -->
Q1B2HNScrtsNvsmt="Str128[0..1]"
 <!-- This node has most recent response to Part 1B Item2H. If you provide financial planning services, the investments
made based on those services at the end of your last fiscal year totaled: If non-securities investments are over
$5,000,000, how much. -->
Q1B2HNScrtsNvsmtAm="Decimal14P2[0..1]"/>
```

Schema Component Representation

```xml
<xsd:complexType name="ItemHType">
   <xsd:attribute name="Q1B2HScrtsNvsmt" type="Str128" use="optional"/>
   <xsd:attribute name="Q1B2HScrtsNvsmtAm" type="Decimal14P2" use="optional"/>
   <xsd:attribute name="Q1B2HNScrtsNvsmt" type="Str128" use="optional"/>
   <xsd:attribute name="Q1B2HNScrtsNvsmtAm" type="Decimal14P2" use="optional"/>
</xsd:complexType>
```

Complex Type: ItemIType

Super-types:	None
Sub-types:	None

Name	ItemIType
Abstract	no

XML Instance Representation

```xml
<...
 <!-- This node has Firm's most recent response to Part 1B Item 2I. Custody (1) Do you withdraw advisory fees directly
from your clients' accounts (Y/N). -->
Q1B2I1="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item 2I(1)(a) Do you send a copy of your invoice to the
custodian or trustee at the same time that you send a copy to the client (Y/N/null). -->
Q1B2I1A="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item 2I(1)(b) Does the custodian send quarterly statements to
your clients showing all disbursements for the custodian account, including the amount of the advisory fees (Y/N/null).
-->
Q1B2I1B="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item 2I(1)(c) Do your clients provide written authorization
permitting you to be paid directly for their accounts held by the custodian or trustee (Y/N/null). -->
Q1B2I1C="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item 2I(2) (a)(i) Do you or a related person act as general
partner, managing member, or person serving in a similar capacity,
     for any pooled investment vehicle for which you are the adviser to the pooled investment vehicle, or for which you
are the adviser to one or more of the investors in the pooled investment vehicle?
     (Y/N) -->
Q1B2I2Ai="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item 2I(2)(a)(ii) As the general partner , managing member,
or person serving in a similar capacity, have you or a related person
     engaged any of the following to provide authority permitting each direct payment or any transfer of funds or
securities from the account of the pooled investment vehicle?
     (Y/N) -->
Q1B2I2AiiAtrny="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item 2I(2)(a) (ii) As the general partner, managing member,
or person serving in a similar capacity, have you or a related person engaged
     any of the following to provide authority permitting each direct payment or any transfer of funds or securities
from the account of the pooled investment vehicle?
     (Y/N) -->
Q1B2I2AiiCpa="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item 2I(2)(a) (ii) As the general partner, managing member,
or person serving in a similar capacity, have you or a related person engaged
     any of the following to provide authority permitting each direct payment or any transfer of funds or securities
from the account of the pooled investment vehicle?
     (Y/N) -->
Q1B2I2AiiOth="answerYNType[0..1]"
 <!-- Independent party description -->
Q1B2I2AiiOthTx="Str4000[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item 2I(2)(b) Do you or a related person act as investment
adviser and a trustee for any trust, or act as a trustee for any
     trust in which your advisory clients are beneficiaries of the trust? -->
Q1B2I2B="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item 2I(3) Do you require prepayment of fees of more than
$500 per client and for six months or more in advance. (Y/N) -->
Q1B2I3="answerYNType[0..1]"/>
```

Schema Component Representation

```xml
<xsd:complexType name="ItemIType">
    <xsd:attribute name="Q1B2I1" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q1B2I1A" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q1B2I1B" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q1B2I1C" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q1B2I2Ai" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q1B2I2AiiAtrny" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q1B2I2AiiCpa" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q1B2I2AiiOth" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q1B2I2AiiOthTx" type="Str4000" use="optional"/>
    <xsd:attribute name="Q1B2I2B" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q1B2I3" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: ItemJType

Super-types:	None
Sub-types:	None

Name	ItemJType
Abstract	no

XML Instance Representation

```xml
<...
 <!-- This node has Firm's most recent response to Part 1B Item 2J(1)(a) Have you passed, on or after January 1, 2000,
the Series 65 examination (Y/N/null). -->
Q1BJ1A="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item 2J(1)(b) Have you passed, on or after January 1, 2000,
the Series 66 examination and also passed, at any time, the Series 7 examination (Y/N/null). -->
Q1BJ1B="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item 2J(2)(a) Do you have any investment advisory
professional designation (Y/N/null). -->
Q1BJ2A="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item 2J(2)(b)(1) Certified Financial Planner ("CFP")
      Display a 'Y' when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q1BJ2BCfp="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item 2J(2)(b)(2) Chartered Financial Analyst ("CFA")
      Display a 'Y' when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q1BJ2BCfa="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item 2J(2)(b)(3) Chartered Financial Consultant ("ChFC")
      Display a 'Y' when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q1BJ2BChfc="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item 2J(2)(b)(4) Chartered Investment Counselor ("CIC")
      Display a 'Y' when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q1BJ2BCic="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item 2J(2)(b)(5) Personal Financial Specialist ("PFS")
      Display a 'Y' when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q1BJ2BPfs="answerYNType[0..1]"
 <!-- This node has Firm's most recent response to Part 1B Item 2J(2)(b)(6) None of the above
      Display a 'Y' when the checkbox is selected. Display an 'N' when the checkbox is not selected. -->
Q1BJ2BNone="answerYNType[0..1]"/>
```

Schema Component Representation

```xml
<xsd:complexType name="ItemJType">
    <xsd:attribute name="Q1BJ1A" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q1BJ1B" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q1BJ2A" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q1BJ2BCfp" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q1BJ2BCfa" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q1BJ2BChfc" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q1BJ2BCic" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q1BJ2BPfs" type="answerYNType" use="optional"/>
    <xsd:attribute name="Q1BJ2BNone" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Complex Type: **ItemKType**

Super-types:	None
Sub-types:	None

Name	ItemKType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has Firm's most recent response to Part 1B Item 2.K(1) If other than a sole proprietor, indicate the
date you obtained your legal status: Date of formation: -->
Q1B2K1="xsd:date[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="ItemKType">
    <xsd:attribute name="Q1B2K1" type="xsd:date" use="optional"/>
</xsd:complexType>
```

Complex Type: **Part1AType**

Super-types:	None
Sub-types:	None

Name	Part1AType
Abstract	no

XML Instance Representation

```
<...>
   <!-- This node has the firm Identifying Information.This maps to Form ADV - Item 1 -->
   <Item1> Item1Type </Item1> [0..1]
   <!-- This node has the Form of Organization - How are you organized?. This maps to Form ADV - Item 3 - Q.A -->
   <Item3A> Item3AType </Item3A> [0..1]
   <!-- This node has the Form of Organization - In what month does your fiscal year end each year?. This maps to Form
   ADV - Item 3 - Q.B -->
   <Item3B> Item3BType </Item3B> [0..1]
   <!-- This node has the Form of Organization - Under the laws of what state or country are you organized?. This maps
   to Form ADV - Item 3 - Q.C -->
   <Item3C> Item3CType </Item3C> [0..1]
   <!-- This node has the Information About Your Advisory Business - Approximately how many employees do you have?
   Include full- and part-time employees but do not include any clerical workers. This maps to Form ADV - Item 5 - Q.A -
   ->
   <Item5A> Item5AType </Item5A> [0..1]
   <!-- This node has the Information About Your Advisory Business - Approximately how many of the employees reported in
   5.A.This maps to Form ADV - Item 5 - Q.B -->
   <Item5B> Item5BType </Item5B> [0..1]
   <!-- This node has the Information About Your Advisory Business - Clients.This maps to Form ADV - Item 5 - Q.C.1 and
   Q.C.2 -->
   <Item5C> Item5CType </Item5C> [0..1]
   <!-- This node has the Information About Your Advisory Business - Clients.This maps to Form ADV - Item 5 - Q.D. -->
   <Item5D> Item5DType </Item5D> [0..1]
   <!-- This node has the Information About Your Advisory Business - Compensation Arrangements.This maps to Form ADV -
   Item 5 - Q.E -->
   <Item5E> Item5EType </Item5E> [0..1]
   <!-- This node has the Information About Your Advisory Business - Regulatory Assets Under Management.This maps to
   Form ADV - Item 5 - Q.F -->
   <Item5F> Item5FType </Item5F> [0..1]
   <!-- This node has the Information About Your Advisory Business - What type(s) of advisory services do you
   provide?.This maps to Form ADV - Item 5 - Q.G -->
   <Item5G> Item5GType </Item5G> [0..1]
   <!-- This node has the Information About Your Advisory Business - If you provide financial planning services, to how
   many clients did you provide these services during your last fiscal year?.This maps to Form ADV - Item 5 - Q.H -->
   <Item5H> Item5HType </Item5H> [0..1]
   <!-- This node has the Information About Your Advisory Business - wrap fee program.This maps to Form ADV - Item 5 -
   Q.I -->
   <Item5I> Item5IType </Item5I> [0..1]
   <!-- This node has the Information About Your Advisory Business - In response to Item 4.B. of Part 2A of Form ADV, do
```

you indicate that you provide investment advice only with respect to limited types of investments? .This maps to Form ADV - Item 5 - Q.J -->
```
<Item5J> Item5JType </Item5J> [0..1]
```
<!-- This node has the Other Business Activities - You are actively engaged in business as a?.This maps to Form ADV - Item 6 - Q.A -->
```
<Item6A> Item6AType </Item6A> [0..1]
```
<!-- This node has the Other Business Activities.This maps to Form ADV - Item 6 - Q.B.1 to Q.B.3 -->
```
<Item6B> Item6BType </Item6B> [0..1]
```
<!-- This node has the Financial Industry Affiliations -
    This part of Item 7 requires you to provide information about you and your related persons, including foreign affiliates. Your related persons are all of your advisory affiliates and any person that is under common control with you.
    You have a related person that is a?. This maps to Form ADV - Item 7 - Q.A -->
```
<Item7A> Item7AType </Item7A> [0..1]
```
<!-- This node has the Financial Industry Affiliations - Are you an adviser to any private fund?
    This maps to Form ADV - Item 7 - Q.B -->
```
<Item7B> Item7BType </Item7B> [0..1]
```
<!-- This node has the Participation or Interest in Client Transactions - Proprietary Interest in Client Transactions. This maps to Form ADV - Item 8 - Q.A.1 to Q.A.3 -->
```
<Item8A> Item8AType </Item8A> [0..1]
```
<!-- This node has the Participation or Interest in Client Transactions - Sales Interest in Client Transactions. This maps to Form ADV - Item 8 - Q.B.1 to Q.B.3 -->
```
<Item8B> Item8BType </Item8B> [0..1]
```
<!-- This node has the Participation or Interest in Client Transactions - Investment or Brokerage Discretion. This maps to Form ADV - Item 8 - Q.C.1 to Q.C.4 -->
```
<Item8C> Item8CType </Item8C> [0..1]
```
<!-- This node has the Participation or Interest in Client Transactions - Investment or Brokerage Discretion. This maps to Form ADV - Item 8 - Q.D -->
```
<Item8D> Item8DType </Item8D> [0..1]
```
<!-- This node has the Participation or Interest in Client Transactions - Investment or Brokerage Discretion. This maps to Form ADV - Item 8 - Q.E -->
```
<Item8E> Item8EType </Item8E> [0..1]
```
<!-- This node has the Participation or Interest in Client Transactions - Investment or Brokerage Discretion. This maps to Form ADV - Item 8 - Q.F -->
```
<Item8F> Item8FType </Item8F> [0..1]
```
<!-- This node has the Participation or Interest in Client Transactions - Investment or Brokerage Discretion. This maps to Form ADV - Item 8 - Q.G.1 to Q.G.2 -->
```
<Item8G> Item8GType </Item8G> [0..1]
```
<!-- This node has the Participation or Interest in Client Transactions- Investment or Brokerage Discretion. This maps to Form ADV - Item 8 - Q.H -->
```
<Item8H> Item8HType </Item8H> [0..1]
```
<!-- This node has the Participation or Interest in Client Transactions - Investment or Brokerage Discretion. This maps to Form ADV - Item 8 - Q.I -->
```
<Item8I> Item8IType </Item8I> [0..1]
```
<!-- This node has the Custody.This maps to Form ADV - Item 9 - Q.A.1 and Q.A.2 -->
```
<Item9A> Item9A1Type </Item9A> [0..1]
```
<!-- This node has the Custody.This maps to Form ADV - Item 9 - Q.B.1 and Q.B.2 -->
```
<Item9B> Item9BType </Item9B> [0..1]
```
<!-- This node has the Custody.This maps to Form ADV - Item 9 - Q.C.1 to Q.C.4 -->
```
<Item9C> Item9CType </Item9C> [0..1]
```
<!-- This node has the Custody.This maps to Form ADV - Item 9 - Q.D.1 and Q.D.2 -->
```
<Item9D> Item9DType </Item9D> [0..1]
```
<!-- This node has the Custody.This maps to Form ADV - Item 9 - Q.E -->
```
<Item9E> Item9EType </Item9E> [0..1]
```
<!-- This node has the Custody.This maps to Form ADV - Item 9 - Q.F -->
```
<Item9F> Item9FType </Item9F> [0..1]
```
<!-- This node has Control Persons details.This maps to Form ADV - Item 10 - Q.A and Q.B -->
```
<Item10A> Item10AType </Item10A> [0..1]
```
<!-- This node has Disclosure Information.This maps to Form ADV - Item 11 -->
```
<Item11> Item11Type </Item11> [0..1]
```
<!-- This node has Disclosure Information - Criminal Action DRP.This maps to Form ADV - Item 11 - Q.A -->
```
<Item11A> Item11AType </Item11A> [0..1]
```
<!-- This node has Disclosure Information - advisory affiliate.This maps to Form ADV - Item 11 - Q.B -->
```
<Item11B> Item11BType </Item11B> [0..1]
```
<!-- This node has Disclosure Information - Regulatory Action DRP - Has the SEC or the Commodity Futures Trading Commission (CFTC) ever.This maps to Form ADV - Item 11 - Q.C -->
```
<Item11C> Item11CType </Item11C> [0..1]
```
<!-- This node has Disclosure Information - Regulatory Action DRP - Has any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority.This maps to Form ADV - Item 11 - Q.D -->
```
<Item11D> Item11DType </Item11D> [0..1]
```
<!-- This node has Disclosure Information - Regulatory Action DRP - Has any self-regulatory organization or commodities exchange ever.This maps to Form ADV - Item 11 - Q.E -->
```
<Item11E> Item11EType </Item11E> [0..1]
```
<!-- This node has Disclosure Information - Regulatory Action DRP - Has an authorization to act as an attorney, accountant, or federal contractor granted to you or any advisory affiliate ever been revoked or suspended.This maps to Form ADV - Item 11 - Q.F -->
```
<Item11F> Item11FType </Item11F> [0..1]
```
<!-- This node has Disclosure Information - Regulatory Action DRP - advisory affiliate .This maps to Form ADV - Item 11 - Q.G -->
```
<Item11G> Item11GType </Item11G> [0..1]
```

```
    <!-- This node has Disclosure Information - Civil Judicial Action DRP.This maps to Form ADV - Item 11 - Q.H -->
    <Item11H> Item11HType </Item11H> [0..1]
</...>
```

Schema Component Representation

```
<xsd:complexType name="Part1AType">
   <xsd:sequence>
      <xsd:element name="Item1" type="Item1Type" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item3A" type="Item3AType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item3B" type="Item3BType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item3C" type="Item3CType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item5A" type="Item5AType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item5B" type="Item5BType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item5C" type="Item5CType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item5D" type="Item5DType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item5E" type="Item5EType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item5F" type="Item5FType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item5G" type="Item5GType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item5H" type="Item5HType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item5I" type="Item5IType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item5J" type="Item5JType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item6A" type="Item6AType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item6B" type="Item6BType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item7A" type="Item7AType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item7B" type="Item7BType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item8A" type="Item8AType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item8B" type="Item8BType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item8C" type="Item8CType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item8D" type="Item8DType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item8E" type="Item8EType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item8F" type="Item8FType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item8G" type="Item8GType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item8H" type="Item8HType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item8I" type="Item8IType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item9A" type="Item9A1Type" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item9B" type="Item9BType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item9C" type="Item9CType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item9D" type="Item9DType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item9E" type="Item9EType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item9F" type="Item9FType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item10A" type="Item10AType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item11" type="Item11Type" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item11A" type="Item11AType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item11B" type="Item11BType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item11C" type="Item11CType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item11D" type="Item11DType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item11E" type="Item11EType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item11F" type="Item11FType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item11G" type="Item11GType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="Item11H" type="Item11HType" minOccurs="0" maxOccurs="1"/>
   </xsd:sequence>
</xsd:complexType>
```

Complex Type: Part1BType

Super-types:	None
Sub-types:	None

Name	Part1BType
Abstract	no

XML Instance Representation

```
<...>
  <!-- This node has Part 1B Item 2 - Additional Information.This maps to Form ADV - Part1B - Item2 - Q.A and Q.B -->
  <Item2> Item2Type </Item2> [0..1]
  <!-- This node has Part 1B - Disclosure Questions.This maps to Form ADV - Part1B - Q.C to Q.F -->
  <DsclrQstns> DsclrQstnsType </DsclrQstns> [0..1]
  <!-- This node has Part 1B - Other Business Activities.This maps to Form ADV - Part1B - Q.G.1 to Q.G.2 -->
  <ItemG> ItemGType </ItemG> [0..1]
  <!-- This node has Part 1B - Investments made.This maps to Form ADV - Part1B - Q.H -->
  <ItemH> ItemHType </ItemH> [0..1]
  <!-- This node has Part 1B - Custody.This maps to Form ADV - Part1B - Q.I.1 to Q.I.3 -->
  <ItemI> ItemIType </ItemI> [0..1]
  <!-- This node has Part 1B - sole proprietorship Information.This maps to Form ADV - Part1B - Q.J.1 to Q.J.3 -->
  <ItemJ> ItemJType </ItemJ> [0..1]
  <!-- This node has Part 1B - other than sole proprietorship Information.This maps to Form ADV - Part1B - Q.K.1 to
  Q.K.2 -->
  <ItemK> ItemKType </ItemK> [0..1]
</...>
```

Schema Component Representation

```
<xsd:complexType name="Part1BType">
  <xsd:sequence>
    <xsd:element name="Item2" type="Item2Type" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="DsclrQstns" type="DsclrQstnsType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="ItemG" type="ItemGType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="ItemH" type="ItemHType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="ItemI" type="ItemIType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="ItemJ" type="ItemJType" minOccurs="0" maxOccurs="1"/>
    <xsd:element name="ItemK" type="ItemKType" minOccurs="0" maxOccurs="1"/>
  </xsd:sequence>
</xsd:complexType>
```

Complex Type: RgltrType

Super-types:	None
Sub-types:	None

Name	RgltrType
Abstract	no
Documentation	This has regulator, registration status and date

XML Instance Representation

```
<...
 Cd="StateCdType[1]"
 St="StateRgstnStType[0..1]"
 Dt="xsd:date[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="RgltrType">
  <xsd:attribute name="Cd" type="StateCdType" use="required"/>
  <xsd:attribute name="St" type="StateRgstnStType" use="optional"/>
  <xsd:attribute name="Dt" type="xsd:date" use="optional"/>
</xsd:complexType>
```

Complex Type: StFirmType

Super-types:	None
Sub-types:	None

Name	StFirmType
Abstract	no

XML Instance Representation

```
<...>
   <!-- This node contains the organization's information. -->
   <Info> StOrgInfoType </Info> [1]
   <!-- This node has the Item 1F Principal Main office address info. -->
   <MainAddr> AddrType </MainAddr> [0..1]
   <!-- This node has the Item 1G mailing address info. -->
   <MailingAddr> AddrType </MailingAddr> [0..1]
   <StateRgstn> [1]
      <Rgltrs> [1]
         <Rgltr> RgltrType </Rgltr> [0..*]
      </Rgltrs>
   </StateRgstn>
   <ERA> [1]
      <Rgltrs> [1]
         <Rgltr> RgltrType </Rgltr> [0..*]
      </Rgltrs>
   </ERA>
   <!-- This has the firm filing info. -->
   <Filing> FilingType </Filing> [1..*]
   <!-- This node has the firm forminfo. -->
   <FormInfo> StFormInfoType </FormInfo> [0..1]
</...>
```

Schema Component Representation

```
<xsd:complexType name="StFirmType">
   <xsd:sequence>
      <xsd:element name="Info" type="StOrgInfoType" minOccurs="1" maxOccurs="1"/>
      <xsd:element name="MainAddr" type="AddrType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="MailingAddr" type="AddrType" minOccurs="0" maxOccurs="1"/>
      <xsd:element name="StateRgstn" maxOccurs="1">
         <xsd:complexType>
            <xsd:sequence>
               <xsd:element name="Rgltrs" maxOccurs="1">
                  <xsd:complexType>
                     <xsd:sequence>
                        <xsd:element name="Rgltr" type="RgltrType" minOccurs="0" maxOccurs="unbounded"/>
                     </xsd:sequence>
                  </xsd:complexType>
               </xsd:element>
            </xsd:sequence>
         </xsd:complexType>
      </xsd:element>
      <xsd:element name="ERA" maxOccurs="1">
         <xsd:complexType>
            <xsd:sequence>
               <xsd:element name="Rgltrs" maxOccurs="1">
                  <xsd:complexType>
                     <xsd:sequence>
                        <xsd:element name="Rgltr" type="RgltrType" minOccurs="0" maxOccurs="unbounded"/>
                     </xsd:sequence>
                  </xsd:complexType>
               </xsd:element>
            </xsd:sequence>
         </xsd:complexType>
      </xsd:element>
      <xsd:element name="Filing" type="FilingType" minOccurs="1" maxOccurs="unbounded"/>
      <xsd:element name="FormInfo" type="StFormInfoType" minOccurs="0" maxOccurs="1"/>
   </xsd:sequence>
</xsd:complexType>
```

Complex Type: StFormInfoType

Super-types:	None
Sub-types:	None

Name	StFormInfoType
Abstract	no

XML Instance Representation

```
<...>
   <!-- This has the form ADV Part1A details -->
   <Part1A> Part1AType </Part1A> [1]
   <!-- This has the form ADV Part1B details -->
   <Part1B> Part1BType </Part1B> [1]
</...>
```

Schema Component Representation

```
<xsd:complexType name="StFormInfoType">
   <xsd:sequence>
      <xsd:element name="Part1A" type="Part1AType"/>
      <xsd:element name="Part1B" type="Part1BType"/>
   </xsd:sequence>
</xsd:complexType>
```

Complex Type: StOrgInfoType

Super-types:	None
Sub-types:	None

Name	StOrgInfoType
Abstract	no

XML Instance Representation

```
<...
 <!-- This node has the firm's CRD number.This maps to Form ADV-Item 1 - Q1.e -->
FirmCrdNb="Int8[1]"
 <!-- This node has the firm's 801# or 802# from the IARD composite record.This maps to Form ADV-Item 1 - Q1.d -->
SECNb="Str10[0..1]"
 <!-- This node has the Firm's primary business name from the IARD composite record.This maps to Form ADV-Item 1 - Q1.b
-->
BusNm="Str64[0..1]"
 <!-- This node has the Firm's legal name from the IARD composite record.This maps to Form ADV-Item 1 - Q1.a -->
LegalNm="Str64[1]"
 <!-- This node has the Flag indicating if this firm registers more than 1 investment adviser under an umbrella
registration -->
UmbrRgstn="answerYNType[0..1]"/>
```

Schema Component Representation

```
<xsd:complexType name="StOrgInfoType">
   <xsd:attribute name="FirmCrdNb" type="Int8" use="required"/>
   <xsd:attribute name="SECNb" type="Str10" use="optional"/>
   <xsd:attribute name="BusNm" type="Str64" use="optional"/>
   <xsd:attribute name="LegalNm" type="Str64" use="required"/>
   <xsd:attribute name="UmbrRgstn" type="answerYNType" use="optional"/>
</xsd:complexType>
```

Simple Type: answerYNType

Super-types:	xsd:string < **answerYNType** (by restriction)
Sub-types:	None

Name	answerYNType
Content	l Base XSD Type: string
	l *value* comes from list: {'Y'|'N'}

Schema Component Representation

```xsd
<xsd:simpleType name="answerYNType">
   <xsd:restriction base="xsd:string">
      <xsd:enumeration value="Y"/>
      <xsd:enumeration value="N"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: Decimal14P2

Super-types:	xsd:decimal < **Decimal14P2** (by restriction)
Sub-types:	None

Name	Decimal14P2
Content	l Base XSD Type: decimal l *total no. of digits* = 14 l *no. of fraction digits* = 2

Schema Component Representation

```xsd
<xsd:simpleType name="Decimal14P2">
   <xsd:restriction base="xsd:decimal">
      <xsd:totalDigits value="14"/>
      <xsd:fractionDigits value="2"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: Decimal17P2

Super-types:	xsd:decimal < **Decimal17P2** (by restriction)
Sub-types:	None

Name	Decimal17P2
Content	l Base XSD Type: decimal l *total no. of digits* = 17 l *no. of fraction digits* = 2

Schema Component Representation

```xsd
<xsd:simpleType name="Decimal17P2">
   <xsd:restriction base="xsd:decimal">
      <xsd:totalDigits value="17"/>
      <xsd:fractionDigits value="2"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: FirmCdType

Super-types:	xsd:NMTOKEN < **FirmCdType** (by restriction)
Sub-types:	None

Name	FirmCdType
Content	l Base XSD Type: NMTOKEN l *value* comes from list: {'Registered'|'ERA'} l *length* <= 10

Documentation	Elements of this type represent the business type.
	Allowed values (code-Name) are:
	Registered-Registered Firms.
	ERA-Exempt Reporting Adviser firms.

Schema Component Representation

```xsd
<xsd:simpleType name="FirmCdType">
   <xsd:restriction base="xsd:NMTOKEN">
     <xsd:maxLength value="10"/>
     <xsd:enumeration value="Registered"/>
     <xsd:enumeration value="ERA"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: Int10

Super-types:	xsd:integer < **Int10** (by restriction)
Sub-types:	None

Name	Int10
Content	l Base XSD Type: integer
	l *total no. of digits* = 10

Schema Component Representation

```xsd
<xsd:simpleType name="Int10">
   <xsd:restriction base="xsd:integer">
     <xsd:totalDigits value="10"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: Int3

Super-types:	xsd:integer < **Int3** (by restriction)
Sub-types:	None

Name	Int3
Content	l Base XSD Type: integer
	l *total no. of digits* = 3

Schema Component Representation

```xsd
<xsd:simpleType name="Int3">
   <xsd:restriction base="xsd:integer">
     <xsd:totalDigits value="3"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: Int38

Super-types:	xsd:integer < **Int38** (by restriction)
Sub-types:	None

Name	Int38
Content	l Base XSD Type: integer

	l	*total no. of digits* = 38

Simple Type: Int5

Super-types:	xsd:integer < **Int5** (by restriction)
Sub-types:	None

Name	Int5
Content	l Base XSD Type: integer
	l *total no. of digits* = 5

Schema Component Representation

```
<xsd:simpleType name="Int5">
   <xsd:restriction base="xsd:integer">
     <xsd:totalDigits value="5"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: Int8

Super-types:	xsd:integer < **Int8** (by restriction)
Sub-types:	None

Name	Int8
Content	l Base XSD Type: integer
	l *total no. of digits* = 8

Schema Component Representation

```
<xsd:simpleType name="Int8">
   <xsd:restriction base="xsd:integer">
     <xsd:totalDigits value="8"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: SECRgnCdType

Super-types:	xsd:NMTOKEN < **SECRgnCdType** (by restriction)
Sub-types:	None

Name	SECRgnCdType
Content	l Base XSD Type: NMTOKEN
	l *value* comes from list: {'ARO'|'BRO'|'SRO'|'FWRO'|'CHRO'|'NYRO'|'LARO'|'PLRO'|'SFRO'|'MIRO'|'HQ'}
	l *length* <= 6
Documentation	Elements of this type represent the business type.
	Allowed values (code-Name) are:

ARO-Atlanta Regional Office.
BRO-Boston Regional Office.
DRO-Denver Regional Office.
FWRO-Fort Worth Regional Office.
CHRO-Chicago Regional Office.
NYRO-New York Regional Office.
LARO-Los Angeles Regional Office.
PLRO-Philadelphia Regional Office.
SFRO-San Francisco Regional Office.
MIRO-Miami Regional Office.
HQ-Headquarters.

Schema Component Representation

```xsd
<xsd:simpleType name="SECRgnCdType">
   <xsd:restriction base="xsd:NMTOKEN">
     <xsd:maxLength value="6"/>
     <xsd:enumeration value="ARO"/>
     <xsd:enumeration value="BRO"/>
     <xsd:enumeration value="SRO"/>
     <xsd:enumeration value="FWRO"/>
     <xsd:enumeration value="CHRO"/>
     <xsd:enumeration value="NYRO"/>
     <xsd:enumeration value="LARO"/>
     <xsd:enumeration value="PLRO"/>
     <xsd:enumeration value="SFRO"/>
     <xsd:enumeration value="MIRO"/>
     <xsd:enumeration value="HQ"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: StateCdType

Super-types:	xsd:NMTOKEN < **StateCdType** (by restriction)
Sub-types:	None

Name	StateCdType
Content	l Base XSD Type: NMTOKEN l *value* comes from list: {'AK'|'AL'|'AR'|'AZ'|'CA'|'CO'|'CT'|'DC'|'DE'|'FL'|'GA'|'GU'|'HI'|'IA'|'ID'|'IL'|'IN'|'KS'|'KY'|'LA'|'MA'|'MD'|'ME'|'MI'|'MN'|'MO'|'MS'|'MT'|'NC'|'ND'|'NE'|'NH'|'NJ'|'NM'|'NV'|'NY' l *length* <= 2

Documentation	Elements of this type represent the allowed State Codes.
	      Allowed values (code-Name) are:
	      AK-Alaska
	      AL-Alabama
	      AR-Arkansas
	      AZ-Arizona
	      CA-California
	      CO-Colorado
	      CT-Connecticut
	      DC-District of Columbia
	      DE-Delaware
	      FL-Florida
	      GA-Georgia
	      GU-Guam
	      HI-Hawaii
	      IA-Iowa
	      ID-Idaho
	      IL-Illinois
	      IN-Indiana
	      KS-Kansas
	      KY-Kentucky
	      LA-Louisiana
	      MA-Massachusetts
	      MD-Maryland
	      ME-Maine
	      MI-Michigan
	      MN-Minnesota
	      MO-Missouri
	      MS-Mississippi
	      MT-Montana
	      NC-North Carolina

ND-North Dakota
NE-Nebraska
NH-New Hampshire
NJ-New Jersey
NM-New Mexico
NV-Nevada
NY-New York
OH-Ohio
OK-Oklahoma
OR-Oregon
PA-Pennsylvania
PR-Puerto Rico
RI-Rhode Island
SC-South Carolina
SD-South Dakota
TN-Tennessee
TX-Texas
UT-Utah
VA-Virginia
VT-Vermont
WA-Washington
WI-Wisconsin
WV-West Virginia
WY-Wyoming
VI-Virgin Islands

Schema Component Representation

```xsd
<xsd:simpleType name="StateCdType">
    <xsd:restriction base="xsd:NMTOKEN">
        <xsd:maxLength value="2"/>
        <xsd:enumeration value="AK"/>
        <xsd:enumeration value="AL"/>
        <xsd:enumeration value="AR"/>
        <xsd:enumeration value="AZ"/>
        <xsd:enumeration value="CA"/>
        <xsd:enumeration value="CO"/>
        <xsd:enumeration value="CT"/>
        <xsd:enumeration value="DC"/>
        <xsd:enumeration value="DE"/>
        <xsd:enumeration value="FL"/>
        <xsd:enumeration value="GA"/>
        <xsd:enumeration value="GU"/>
        <xsd:enumeration value="HI"/>
        <xsd:enumeration value="IA"/>
        <xsd:enumeration value="ID"/>
        <xsd:enumeration value="IL"/>
        <xsd:enumeration value="IN"/>
        <xsd:enumeration value="KS"/>
        <xsd:enumeration value="KY"/>
        <xsd:enumeration value="LA"/>
        <xsd:enumeration value="MA"/>
        <xsd:enumeration value="MD"/>
        <xsd:enumeration value="ME"/>
        <xsd:enumeration value="MI"/>
        <xsd:enumeration value="MN"/>
        <xsd:enumeration value="MO"/>
        <xsd:enumeration value="MS"/>
        <xsd:enumeration value="MT"/>
        <xsd:enumeration value="NC"/>
        <xsd:enumeration value="ND"/>
        <xsd:enumeration value="NE"/>
        <xsd:enumeration value="NH"/>
        <xsd:enumeration value="NJ"/>
        <xsd:enumeration value="NM"/>
        <xsd:enumeration value="NV"/>
        <xsd:enumeration value="NY"/>
        <xsd:enumeration value="OH"/>
        <xsd:enumeration value="OK"/>
        <xsd:enumeration value="OR"/>
        <xsd:enumeration value="PA"/>
        <xsd:enumeration value="PR"/>
        <xsd:enumeration value="RI"/>
        <xsd:enumeration value="SC"/>
        <xsd:enumeration value="SD"/>
        <xsd:maxLength value="TN"/>
        <xsd:enumeration value="TX"/>
        <xsd:enumeration value="UT"/>
        <xsd:enumeration value="VA"/>
        <xsd:enumeration value="VT"/>
        <xsd:enumeration value="WA"/>
        <xsd:enumeration value="WI"/>
        <xsd:enumeration value="WV"/>
        <xsd:enumeration value="WY"/>
        <xsd:enumeration value="VI"/>
    </xsd:restriction>
</xsd:simpleType>
```

Simple Type: StateRgstnStType

Super-types:	xsd:NMTOKEN < **StateRgstnStType** (by restriction)
Sub-types:	None

Name	StateRgstnStType
Content	l Base XSD Type: NMTOKEN
	l *value* comes from list: {'TRANSITIONING'|'APPROVED'|'CONDREST'|'LIMITED'|'SUSPENDED'|'TERMREQUEST'|'ACTIVE'}
	l *length* <= 20

Documentation	Elements of this type represent the business type. Allowed values (code-Name) are: TRANSITIONING-Transitioning. APPROVED-Approved. CONDREST-Conditional Restricted. LIMITED-Limited. SUSPENDED-Suspended. TERMREQUEST-Termination Requested. ACTIVE-Active.

Schema Component Representation

```xml
<xsd:simpleType name="StateRgstnStType">
   <xsd:restriction base="xsd:NMTOKEN">
      <xsd:maxLength value="20"/>
      <xsd:enumeration value="TRANSITIONING"/>
      <xsd:enumeration value="APPROVED"/>
      <xsd:enumeration value="CONDREST"/>
      <xsd:enumeration value="LIMITED"/>
      <xsd:enumeration value="SUSPENDED"/>
      <xsd:enumeration value="TERMREQUEST"/>
      <xsd:enumeration value="ACTIVE"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: Str10

Super-types:	xsd:string < **Str10** (by restriction)
Sub-types:	None

Name	Str10
Content	l Base XSD Type: string l *length* <= 10

Schema Component Representation

```xml
<xsd:simpleType name="Str10">
   <xsd:restriction base="xsd:string">
      <xsd:maxLength value="10"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: Str11

Super-types:	xsd:string < **Str11** (by restriction)
Sub-types:	None

Name	Str11
Content	l Base XSD Type: string l *length* <= 11

Schema Component Representation

```xml
<xsd:simpleType name="Str11">
   <xsd:restriction base="xsd:string">
      <xsd:maxLength value="11"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: Str128

Super-types:	xsd:string < **Str128** (by restriction)
Sub-types:	None

Name	Str128
Content	l Base XSD Type: string
	l *length* <= 128

Schema Component Representation

```
<xsd:simpleType name="Str128">
   <xsd:restriction base="xsd:string">
      <xsd:maxLength value="128"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: Str20

Super-types:	xsd:string < **Str20** (by restriction)
Sub-types:	None

Name	Str20
Content	l Base XSD Type: string
	l *length* <= 20

Schema Component Representation

```
<xsd:simpleType name="Str20">
   <xsd:restriction base="xsd:string">
      <xsd:maxLength value="20"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: Str27

Super-types:	xsd:string < **Str27** (by restriction)
Sub-types:	None

Name	Str27
Content	l Base XSD Type: string
	l *length* <= 27

Schema Component Representation

```
<xsd:simpleType name="Str27">
   <xsd:restriction base="xsd:string">
      <xsd:maxLength value="27"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: Str4000

Super-types:	xsd:string < **Str4000** (by restriction)

Sub-types:	None

Name	Str4000
Content	l Base XSD Type: string l *length* <= 4000

Schema Component Representation

```
<xsd:simpleType name="Str4000">
   <xsd:restriction base="xsd:string">
     <xsd:maxLength value="4000"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: Str50

Super-types:	xsd:string < **Str50** (by restriction)
Sub-types:	None

Name	Str50
Content	l Base XSD Type: string l *length* <= 50

Schema Component Representation

```
<xsd:simpleType name="Str50">
   <xsd:restriction base="xsd:string">
     <xsd:maxLength value="50"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: Str512

Super-types:	xsd:string < **Str512** (by restriction)
Sub-types:	None

Name	Str512
Content	l Base XSD Type: string l *length* <= 512

Schema Component Representation

```
<xsd:simpleType name="Str512">
   <xsd:restriction base="xsd:string">
     <xsd:maxLength value="512"/>
   </xsd:restriction>
</xsd:simpleType>
```

Simple Type: Str64

Super-types:	xsd:string < **Str64** (by restriction)
Sub-types:	None

Name	Str64
Content	l Base XSD Type: string

	◦ *length* <= 64

Schema Component Representation

```xsd
<xsd:simpleType name="Str64">
   <xsd:restriction base="xsd:string">
      <xsd:maxLength value="64"/>
   </xsd:restriction>
</xsd:simpleType>
```

Schema Reference Glossary

Glossary

Abstract (Applies to complex type definitions and element declarations). An abstract element or complex type cannot used to validate an element instance. If there is a reference to an abstract element, only element declarations that can substitute the abstract element can be used to validate the instance. For references to abstract type definitions, only derived types can be used.

All Model Group Child elements can be provided *in any order* in instances. See: http://www.w3.org/TR/xmlschema-1/#element-all.

Choice Model Group *Only one* from the list of child elements and model groups can be provided in instances. See: http://www.w3.org/TR/xmlschema-1/#element-choice.

Collapse Whitespace Policy Replace tab, line feed, and carriage return characters with space character (Unicode character 32). Then, collapse contiguous sequences of space characters into single space character, and remove leading and trailing space characters.

Disallowed Substitutions (Applies to element declarations). If *substitution* is specified, then substitution group members cannot be used in place of the given element declaration to validate element instances. If *derivation methods*, e.g. extension, restriction, are specified, then the given element declaration will not validate element instances that have types derived from the element declaration's type using the specified derivation methods. Normally, element instances can override their declaration's type by specifying an `xsi:type` attribute.

Key Constraint Like Uniqueness Constraint, but additionally requires that the specified value(s) must be provided. See: http://www.w3.org/TR/xmlschema-1/#cIdentity-constraint_Definitions.

Key Reference Constraint Ensures that the specified value(s) must match value(s) from a Key Constraint or Uniqueness Constraint. See: http://www.w3.org/TR/xmlschema-1/#cIdentity-constraint_Definitions.

Model Group Groups together element content, specifying the order in which the element content can occur and the number of times the group of element content may be repeated. See: http://www.w3.org/TR/xmlschema-1/#Model_Groups.

Nillable (Applies to element declarations). If an element declaration is nillable, instances can use the `xsi:nil` attribute. The `xsi:nil` attribute is the boolean attribute, *nil*, from the *http://www.w3.org/2001/XMLSchema-instance* namespace. If an element instance has an `xsi:nil` attribute set to true, it can be left empty, even though its element declaration may have required content.

Notation A notation is used to identify the format of a piece of data. Values of elements and attributes that are of type, NOTATION, must come from the names of declared notations. See: http://www.w3.org/TR/xmlschema-1/#cNotation_Declarations.

Preserve Whitespace Policy Preserve whitespaces exactly as they appear in instances.

Prohibited Derivations (Applies to type definitions). Derivation methods that cannot be used to create sub-types from a given type definition.

Prohibited Substitutions (Applies to complex type definitions). Prevents sub-types that have been derived using the specified derivation methods from validating element instances in place of the given type definition.

Replace Whitespace Policy Replace tab, line feed, and carriage return characters with space character (Unicode character 32).

Sequence Model Group Child elements and model groups must be provided *in the specified order* in instances. See: http://www.w3.org/TR/xmlschema-1/#element-sequence.

Substitution Group Elements that are *members* of a substitution group can be used wherever the *head* element of the substitution group is referenced.

Substitution Group Exclusions (Applies to element declarations). Prohibits element declarations from nominating themselves as being able to substitute a given element declaration, if they have types that are derived from the original element's type using the specified derivation methods.

Target Namespace The target namespace identifies the namespace that components in this schema belongs to. If no target namespace is provided, then the schema components do not belong to any namespace.

Uniqueness Constraint Ensures uniqueness of an element/attribute value, or a combination of values, within a specified scope. See: http://www.w3.org/TR/xmlschema-1/#cIdentity-constraint_Definitions.