

Attachment B

Data Fields and Explanations of Selected Fields in Rule 4530(g) Online Form

All fields marked with * are mandatory

This ID number is for illustrative purposes only. The actual ID number will be an auto-generated number.

Rule 4530(g) Filings – Criminal Actions, Civil Litigations and Non-FINRA Arbitrations

| Filing ID: 123456 |

These fields will be prepopulated.

Firm Information:

Firm Name: Firm CRD:

Contact Person Information: *

Name:

Telephone: Email:

Party Information:*

Complainant/Plaintiff:

- Member Firm
- Non-Member Firm/Entity
- Associated Person
- Other Person

Respondent/Defendant:

- Member Firm
- Non-Member Firm/Entity
- Associated Person
- Other Person

Member firms will be prompted to provide additional information depending on the selected checkbox.

For instance, if they select Member Firm, they will be prompted to provide the firm's name and CRD number. The form also allows firms to enter additional complainants/plaintiffs and respondents/defendants.

Matter Information:

Type: * Civil-Class Action Civil-Other
 Criminal Non-FINRA Arbitration

Member firms will have to select one of the following from a drop-down menu.

Court/Arbitration Case #: Venue:

Allegation Activity Dates From: * To: *

- Exact
- Explanation

If member firms select the Explanation radio button, they will be prompted to explain the activity dates.

Litigation Filing Date: *

Problem Code: *

Member firms will be able to select the appropriate Problem Code. The Problem Codes will be the same as those used to report quarterly statistical and summary information regarding written customer complaints.

Alleged Compensatory Damages? * Yes No

If member firms select the Yes radio button, they will be prompted to indicate the amount.

Product Code *

Filings: Please attach filing here. *

Attached Documents:

Additional Information:

Member firms will be able to select the appropriate Product Code. The Product Codes will be the same as those used to report quarterly statistical and summary information regarding written customer complaints. The form also allows firms to enter additional products.