

Exhibit 1: Disclosures Categories Considered for Criminal Matters and Specified Risk Events (Mapped to the Uniform Form U4)

Disclosure Categories*	Subcategories Considered		Subcategories Included	
	Subcategories	U4 Question #	Subcategories	U4 Question #
Final Criminal Matters	I) Convictions II) Adjudicated charges with unspecified outcomes	I) 14A(1)a, (2)a; 14B(1)a, (2)a II) 14A(1)b, (2)b; 14B(1)b,(2)b	I) Convictions	I) 14A(1)a, (2)a; 14B(1)a, (2)a
Specified Risk Events				
a) Customer Awards (above de minimis threshold)**	Customer awards in which: I) Individual was named II) Individual was subject of	I) 14I (1)b II) 14I (4)b	Customer awards in which: I) Individual was named	I) 14I (1)b
b) Customer Settlements (above de minimis threshold)**	Customer settlements in which: I) Individual was named II) Individual was subject of	I) 14I (1)c-d II) 14I (2)a-b; 14I (4)a	Customer settlements in which: I) Individual was named	I) 14I (1)c-d
c) Final Civil Judicial	Sanctions ordered: I) Monetary Sanctions II) Cease and Desist Sanctions III) Other Sanctions	Civil Judicial DRP, Q12A I) Civil and Administrative penalties, Disgorgement, Monetary Penalty other than fines, Restitution II) Cease and Desist, Injunction III) Other Sanctions	Sanctions ordered: I) Monetary Sanctions (above de minimis threshold)**	Civil Judicial DRP, Q12A I) Civil and Administrative penalties, Disgorgement, Monetary Penalty other than fines, Restitution
d) Final Regulatory Actions	Sanctions ordered: I) Bars and Suspensions II) Monetary Sanctions III) Cease and Desist Sanctions IV) Other Sanctions	Regulatory Action-DRP 13 A. I) Bar(permanent), Bar (temporary), Rescission, Suspension, Revocation, Expulsion II) Civil and Admin Penalties/Fines, Restitution, Disgorgement, Monetary penalties and other fines III) Censure, Cease and Desist, Prohibition IV) Undertaking, Requalification, Denial, Letter of Reprimand, Other	Sanctions ordered: I) Bars and Suspensions II) Monetary Sanctions (above de minimis threshold)**	Regulatory Action-DRP 13 A. I) Bar(permanent), Bar (temporary), Rescission, Suspension, Revocation, Expulsion II) Civil and Admin Penalties/Fines, Restitution, Disgorgement, Monetary penalties and other fines

Notes and Assumptions:

* Excludes matters that are pending or are known to have reached a resolution in favor of the Individual (e.g. pending or dismissed complaints).

** Corresponds to a dollar threshold of \$15,000.

Exhibit 2: Disclosures Categories Considered for Criminal Matters and Specified Risk Events (Mapped to the Uniform Form BD)

Disclosure Categories*	Subcategories Considered		Subcategories Included	
	Subcategories	Form BD Question #	Subcategories	Form BD Question #
Final Criminal Matters	I) Convictions II) Adjudicated charges with unspecified outcomes	I) 11A(1), 11B(1) II) 11A(2), 11B(2)	I) Convictions	I) 11A(1), 11B(1)
Specified Risk Events				
a) Customer Awards (above de minimis threshold)**	Customer awards in which: I) Individual was named II) Individual was subject of	NA***	Customer awards in which: I) Individual was named	NA***
b) Customer Settlements (above de minimis threshold)**	Customer settlements in which: I) Individual was named II) Individual was subject of	NA***	Customer settlements in which: I) Individual was named	NA***
c) Final Civil Judicial	Sanctions ordered: I) Monetary Sanctions II) Cease and Desist Sanctions III) Other Sanctions	Civil Action-DRP Part II, 13 A. I) Bar, Suspension, Revocation, Expulsion II) Disgorgement, Restitution, Monetary Fine III) Censure, Cease and Desist Injunctions IV) Other Sanctions	Sanctions ordered: I) Monetary Sanctions (above de minimis threshold)**	Civil Action-DRP Part II, 13 A. I) Bar, Suspension, Revocation, Expulsion II) Disgorgement, Restitution, Monetary Fine
d) Final Regulatory Actions	Sanctions ordered: I) Bars and Suspensions II) Monetary Sanctions III) Cease and Desist Sanctions IV) Other Sanctions	Regulatory Action-DRP Part II, 12 A. I) Bar, Suspension, Revocation, Expulsion II) Disgorgement, Restitution, Monetary Fine III) Censure, Cease and Desist Injunctions IV) Other Sanctions	Sanctions ordered: I) Bars and Suspensions II) Monetary Sanctions (above de minimis threshold)**	Regulatory Action-DRP Part II, 12 A. I) Bar, Suspension, Revocation, Expulsion II) Disgorgement, Restitution, Monetary Fine

Notes and Assumptions:

* Form BD includes information on these disclosure categories for individual control affiliates. These disclosure categories exclude matters that are pending or are known to have reached a resolution in favor of the Individual (e.g. pending or dismissed complaints).

** Corresponds to a dollar threshold of \$15,000.

*** Form BD does not include information on customer awards or settlements.

Exhibit 3: Breakdown of Criminal Matters and Specified Risk Events

Look-back Period?	Disclosures Considered in Developing Specified Risk Events (SREs)															
	Criminal Matters				Disclosures Considered in Developing Specified Risk Events (SREs)										Criminal Matters OR SREs	
	Disclosure Subcategory	Events	Individuals with ≥1 events	Regulatory Action Disclosures		Civil Judicial Disclosures		Customer Complaint, Arbitration, Civil Litigation Disclosures		Any SREs			Events	Individuals with ≥1 Criminal Event Or ≥2 SREs		
Disclosure Subcategory				Events	Disclosure Subcategory	Events	Disclosure Subcategory	Events	Events	Individuals with ≥1 events	Individuals with ≥2 events					
[1]	All years	All Criminal Disclosures	20,895	17,813	All Regulatory Action Disclosures	13,567	All Civil Judicial Disclosures	1,282	All Customer Complaint, Arbitration, Civil Litigation Disclosures	125,348	140,197	69,376	27,924	161,092	44,060	
[2]	All years	Final Criminal Matters	17,491	14,970	Final Regulatory Actions	12,298	Final Civil Judicial Disclosures	529	Customer Awards and Settlements above de minimis threshold	55,731	68,558	39,658	12,858	86,049	26,957	
[3]	5 years	Final Criminal Matters	846	805	Final Regulatory Actions	2,296	Final Civil Judicial Disclosures	117	Customer Awards and Settlements above de minimis threshold	7,435	12,410	9,271	1,551	13,256	2,345	
[4]	5 years	Criminal Convictions	154	145	Final Regulatory Actions associated with i) bars and suspensions or ii) monetary sanctions above de minimis threshold	1,311	Final Civil Judicial Actions with monetary sanctions above de minimis threshold	10	Customer Awards and Settlements above de minimis threshold in which Individual was "named"	2,105	3,426	2,870	348	3,578	493	

Notes and Assumptions:

[1]: Disclosures within each subcategory include all disclosures including pending and resolved events, regardless of the resolution.

[2]: Final events exclude matters that are pending or are known to have reached a resolution in favor of the Individual. Final criminal matters include convictions and outcome that are not specified.

[3]: 5 year look-back is based on resolution date being within the last 5 years.

[4]: Regulatory Actions corresponding to bars and suspensions include, permanent or temporary bar, suspension, revocation, rescission or expulsion. Customer Awards and Settlements in which the individual was "named" exclude any settlements prior to initiation of arbitration or civil litigation.

[5]: De minimis threshold corresponds to a dollar threshold of \$15,000

Exhibit 4: Individuals and Firms Impacted by the Proposed MAP Requirement

Year	Individuals impacted by proposed MAP requirement				Firms impacted by the Proposed MAP requirement			
	Individuals meeting the Proposed Criteria who became:*				Small Firms	Medium Firms	Large Firms	All Firms
	(1) Principal	(2) Registered Person	(3) Owner or Control Person	(1) or (2) or (3)				
2013	42	146	11	160	91	24	55	170
2014	30	111	13	124	72	14	59	145
2015	34	114	10	129	72	20	49	141
2016	17	94	7	99	51	16	46	113

Notes and Assumptions

* Proposed criteria corresponds to individuals with one final criminal matter or two or more specified risk events within the prior five years reported on Uniform Registration Forms U4, U5, U6 and Form BD.