How to Upload a List of Individuals

If your response requires the entry of a large number of individuals, and if those individuals have a lot of information in common (such as employer and business address), entering these individuals into the FINRA system via file upload may be appropriate and desirable. The instructions below have been prepared to answer any questions you may have about how to use this feature.

Instructions

1. Right click on the Template link, which is located to the right of the "Upload File" button.
2. Select "Save Target As" and save the file to your local machine as "ChronologyIndividuals.csv".
3. Open the saved file using MS Excel or similar editor.
4. Enter one individual per row, heeding the field by field instructions and validations described in the section that follows. While adding these rows, please note:
    a. Each row that contains individual information must start with the word "Row" in the A column.
    b. The text in row one and two of the file must not be altered, as these cells contain important information which will support system processing of the data entered.
5. Once the individuals have been entered, save the file.
6. Click the "Upload File" button on the form.
7. Select "ChronologyIndividuals.csv" from your local machine and click the "Open" button. The file must be a .csv file. Any other file type (e.g., a .xls or a .xlsx file) will cause an error.
8. If your file passes the validations described below, a message will be displayed to inform you of the successful upload, "Please fix errors if applicable, otherwise please scroll down to review and then save or submit". When you scroll down to the bottom of the form, the number of individuals added to the bottom table will be displayed in the lower left corner.
9. If your file does not pass the validations described below, the first 10 errors encountered will be displayed via an onscreen error message.

Field by field detailed instructions and validations

Column	Description	Instructions and Validations
lastName	The cells in this column should contain each individual's last name	• **This field is mandatory** • Length of this field value should not be more than 30 characters • Last name must begin with a letter (A-Z) • Only letters (A-Z) and the following special characters are allowed: period (.), hyphen (-), apostrophe ('), comma (,), and space ( ) • No consecutive special characters (e.g. two consecutive hyphens) will be accepted
firstName	The cells in this column should contain each individual's first name	• **This field is mandatory** • Length of this field value should not be more than 30 characters • First name must begin with a letter (A-Z) • Only letters (A-Z) and the following special characters are allowed: period (.), hyphen (-), apostrophe ('), and comma (,) • No consecutive special characters (e.g. two consecutive hyphens) will be accepted
middleName	The cells in this column should contain each individual's middle name	• This field is optional • Length of this field value should not be more than 30 characters • First name must begin with a letter (A-Z) • Only letters (A-Z) and the following special characters are allowed: period (.), hyphen (-), apostrophe ('), and comma (,)
employerName	The cells in this column should contain the name of each individual's employer	• **This field is mandatory** • Length of this field value should not be more than 50 characters • Only letters (A-Z), numbers (0-9), and the following special characters are allowed: period (.), hyphen (-), apostrophe ('), comma (,), parenthesis (()), forward slash (/), ampersand (&), colon (:), and space ( )

Column	Description	Instructions and Validations
titleRole	The cells in this column should contain each individual's professional Title/Role	• This field is optional • Length of this field value should not be more than 50 characters • Only letters (A-Z), numbers (0-9), and the following special characters are allowed: period (.), hyphen (-), apostrophe ('), comma (,), parenthesis (()), forward slash (/), ampersand (&), colon (:), and space ( )
employerType	The cells in this column should contain the code of the type of each individual's employer (see table 2 below for acceptable codes and associated types)	• **This field is mandatory** • The only values that are acceptable are the codes listed in table 2 below
businessAddress1	The cells in this column should contain the first line of each individual's business address (i.e. street address)	• **This field is mandatory** • Length of this field value should not be more than 50 characters • Only letters (A-Z), numbers (0-9), and the following special characters are allowed: period (.), hyphen (-), apostrophe ('), comma (,), number sign (#), and space ( )
businessAddress2	The cells in this column should contain the second line of each individual's business address (e.g. suite number)	• This field is optional • Length of this field value should not be more than 30 characters • Only letters (A-Z), numbers (0-9), and the following special characters are allowed: hyphen (-), number sign (#), and space ( )
businessCity	The cells in this column should contain the city of each individual's business address	• **This field is mandatory** • Length of this field value should not be more than 50 characters • Only letters (A-Z) and the following special characters are allowed: period (.), hyphen (-), apostrophe ('), and space ( )
businessStateProvince	The cells in this column should contain the state or province (or the name of the country if entering a non-US address which does not contain a state / province) of each individual's business address	• **This field is mandatory** • Length of this field value should not be more than 50 characters • Only letters (A-Z) and the following special characters are allowed: period (.), hyphen (-), apostrophe ('), and space ( )

Column	Description	Instructions and Validations
businessZipCode	The cells in this column should contain the postal code of each individual's business address	• **This field is mandatory** • Length of this field value should not be more than 10 characters • Only letters (A-Z), numbers (0-9), and the following special characters are allowed: hyphen (-) and space ( ) • If the zip code starts with a zero (0), and if you are creating the file in an editor like MS Excel, be sure to format the cell as Text (if formatted as a number, the preceding zero will be lost) or to retain the leading zeros you can enclose the zip code in double quotes. Example: "01234" • In case of 4-digit postal codes, leading zeroes should be added to the file and the file should be saved and/or closed before file upload. If the file is reopened before the file upload, leading zeroes will be lost from the formatted file.
businessCountry	The cells in this column should contain the country code of each individual's business address (see table 3 below for acceptable country codes)	• **This field is mandatory** • The only values that are acceptable are the codes listed in table 3 below • The code must be entered in all CAPS
homeAddress1	The cells in this column should contain the first line of each individual's home address (i.e. street address)	• **This field is mandatory** • Length of this field value should not be more than 50 characters • Only letters (A-Z), numbers (0-9), and the following special characters are allowed: period (.), hyphen (-), apostrophe ('), comma (,), number sign (#), and space ( )
homeAddress2	The cells in this column should contain the second line of each individual's home address (e.g. apartment number)	• This field is optional • Length of this field value should not be more than 30 characters • Only letters (A-Z), numbers (0-9), and the following special characters are allowed: hyphen (-), number sign (#), and space ( )

Column	Description	Instructions and Validations
homeCity	The cells in this column should contain the city of each individual's home address	• **This field is mandatory** • Length of this field value should not be more than 50 characters • Only letters (A-Z) and the following special characters are allowed: period (.), hyphen (-), apostrophe ('), and space ( )
homeStateProvince	The cells in this column should contain the state or province (or the name of the country if entering a non-US address which does not contain a state / province) of each individual's home address	• **This field is mandatory** • Length of this field value should not be more than 50 characters • Only letters (A-Z) and the following special characters are allowed: period (.), hyphen (-), apostrophe ('), and space ( )
homeZipCode	The cells in this column should contain the postal code of each individual's home address	• **This field is mandatory** • Length of this field value should not be more than 10 characters • Only letters (A-Z), numbers (0-9), and the following special characters are allowed: hyphen (-) and space ( ) • If the zip code starts with a zero (0), and if you are creating the file in an editor like MS Excel, be sure to format the cell as Text (if formatted as a number, the preceding zero will be lost) or to retain the leading zeros you can enclose the zip code in double quotes. Example: "01234"
homeCountry	The cells in this column should contain the country code of each individual's home address (see table 3 below for acceptable country codes)	• **This field is mandatory** • The only values that are acceptable are the codes listed in table 3 below • The code must be entered in all CAPS
awarenessDate	The cells in this column should contain the date that each individual first became aware of information about the public disclosure	• **This field is mandatory** • Dates should be formatted as MM/DD/YYYY

Column	Description	Instructions and Validations
awarenessDateComments	The cells in this column should contain the comments for each individual's date of awareness.	• This field is optional • Length of this field should not be more than 150 characters • Following special characters <u>are not allowed</u> less than sign (<), greater than sign (>) and backslash (\).

Table 2: Employer types and associated codes (choose the correct code for each record and enter into your spreadsheet)

EmployerType	EmployerTypeCode
Accountant	1
Commercial Banker	2
Investment Banker	3
Law Firm	4
Other	5
Printer	6
Public Relation Firm	7
Proxy Solicitor	8
Organization or Company	9

Table 3: Countries and associated country codes (choose the correct code for each record and enter into your spreadsheet)

Country	Country Code
UNITED STATES	USA
Not on List	NON
AFGHANISTAN	AFG
ALBANIA	ALB
ALGERIA	DZA
AMERICAN SAMOA	ASM
ANDORRA	AND
ANGOLA	AGO

Country	Country Code
ANGUILLA	AIA
ANTIGUA AND BARBUDA	ATG
ARGENTINA	ARG
ARMENIA	ARM
ARUBA	ABW
AUSTRALIA	AUS
AUSTRIA	AUT
AZERBAIJAN	AZE
BAHAMAS, THE	BHS
BAHRAIN	BHR
BANGLADESH	BGD
BARBADOS	BRB
BELARUS	BLR
BELGIUM	BEL
BELIZE	BLZ
BENIN	BEN
BERMUDA	BMU
BHUTAN	BTN
BOLIVIA	BOL
BOSNIA AND HERZEGOVINA	BIH
BOTSWANA	BWA
BOUVET ISLAND	BVT
BRAZIL	BRA
BRITISH INDIAN OCEAN TERRITORY	IOT
BRUNEI	BRN
BULGARIA	BGR
BURKINA FASO	BFA
BURUNDI	BDI
CAMBODIA	KHM
CAMEROON	CMR
CANADA	CAN
CAPE VERDE	CPV
CAYMAN ISLANDS	CYM
CENTRAL AFRICAN REPUBLIC	CAF
CHAD	TCD
CHILE	CHL
CHINA	CHN

Country	Country Code
CHRISTMAS ISLAND	CXR
COCOS (KEELING) ISLANDS	CCK
COLOMBIA	COL
COMOROS	COM
CONGO, DEMOCRATIC REPUBLIC OF THE	COD
CONGO, REPUBLIC OF THE	COG
COOK ISLANDS	COK
COSTA RICA	CRI
COTE D'IVOIRE (IVORY COAST)	CIV
CROATIA	HRV
CUBA	CUB
CYPRUS	CYP
CZECH REPUBLIC	CZE
DENMARK	DNK
DJIBOUTI	DJI
DOMINICA	DMA
DOMINICAN REPUBLIC	DOM
ECUADOR	ECU
EGYPT	EGY
EL SALVADOR	SLV
EQUATORIAL GUINEA	GNQ
ERITREA	ERI
ESTONIA	EST
ETHIOPIA	ETH
FALKLAND ISLANDS (ISLAS MALVINAS)	FLK
FAROE ISLANDS	FRO
FIJI	FJI
FINLAND	FIN
FRANCE	FRA
FRENCH GUIANA	GUF
FRENCH POLYNESIA	PYF
FRENCH SOUTHERN TERRITORIES	ATF
GABON	GAB
GAMBIA, THE	GMB
GEORGIA	GEO
GERMANY	DEU
GHANA	GHA

Country	Country Code
GIBRALTAR	GIB
GREECE	GRC
GREENLAND	GRL
GRENADA	GRD
GUADELOUPE	GLP
GUAM	GUM
GUATEMALA	GTM
GUERNSEY	GGY
GUINEA	GIN
GUINEA-BISSAU	GNB
GUYANA	GUY
HAITI	HTI
HEARD AND MCDONALD ISLANDS	HMD
HOLY SEE (VATICAN CITY)	VAT
HONDURAS	HND
HONG KONG	HKG
HUNGARY	HUN
ICELAND	ISL
INDIA	IND
INDONESIA	IDN
IRAN	IRN
IRAQ	IRQ
IRELAND	IRL
ISLE OF MAN	IMN
ISRAEL	ISR
ITALY	ITA
JAMAICA	JAM
JAPAN	JPN
JERSEY	JEY
JORDAN	JOR
KAZAKHSTAN	KAZ
KENYA	KEN
KIRIBATI	KIR
KOREA, NORTH	PRK
KOREA, SOUTH	KOR
KUWAIT	KWT
KYRGYZSTAN	KGZ

Country	Country Code
LAOS	LAO
LATVIA	LVA
LEBANON	LBN
LESOTHO	LSO
LIBERIA	LBR
LIBYA	LBY
LIECHTENSTEIN	LIE
LITHUANIA	LTU
LUXEMBOURG	LUX
MACAU	MAC
MACEDONIA	MKD
MADAGASCAR	MDG
MALAWI	MWI
MALAYSIA	MYS
MALDIVES	MDV
MALI	MLI
MALTA	MLT
MARSHALL ISLANDS	MHL
MARTINIQUE	MTQ
MAURITANIA	MRT
MAURITIUS	MUS
MAYOTTE	MYT
MEXICO	MEX
MICRONESIA, FEDERATED STATES OF	FSM
MOLDOVA	MDA
MONACO	MCO
MONGOLIA	MNG
MONTENEGRO	MNE
MONTSERRAT	MSR
MOROCCO	MAR
MOZAMBIQUE	MOZ
MYANMAR (BURMA)	MMR
NAMIBIA	NAM
NAURU	NRU
NEPAL	NPL
NETHERLANDS	NLD
NETHERLANDS ANTILLES	ANT

Country	Country Code
NEW CALEDONIA	NCL
NEW ZEALAND	NZL
NICARAGUA	NIC
NIGER	NER
NIGERIA	NGA
NIUE	NIU
NORFOLK ISLAND	NFK
NORTHERN MARIANA ISLANDS	MNP
NORWAY	NOR
OMAN	OMN
PAKISTAN	PAK
PALAU	PLW
PALESTINIAN TERRITORY, OCCUPIED	PSE
PANAMA	PAN
PAPUA NEW GUINEA	PNG
PARAGUAY	PRY
PERU	PER
PHILIPPINES	PHL
PITCAIRN ISLANDS (DUCIE, HENDERSON, OENO)	PCN
POLAND	POL
PORTUGAL	PRT
PUERTO RICO	PRI
QATAR	QAT
REUNION	REU
ROMANIA	ROU
RUSSIA	RUS
RWANDA	RWA
SAINT BARTH¿LEMY	BLM
SAINT HELENA	SHN
SAINT KITTS AND NEVIS	KNA
SAINT LUCIA	LCA
SAINT MARTIN	MAF
SAINT PIERRE AND MIQUELON	SPM
SAINT VINCENT AND THE GRENADINES	VCT
SAMOA	WSM
SAN MARINO	SMR
SAO TOME AND PRINCIPE	STP

Country	Country Code
SAUDI ARABIA	SAU
SENEGAL	SEN
SERBIA	SRB
SEYCHELLES	SYC
SIERRA LEONE	SLE
SINGAPORE	SGP
SLOVAKIA	SVK
SLOVENIA	SVN
SOLOMON ISLANDS	SLB
SOMALIA	SOM
SOUTH AFRICA	ZAF
SOUTH GEORGIA AND THE SOUTH SANDWICH ISLANDS	SGS
SPAIN	ESP
SRI LANKA	LKA
SUDAN	SDN
SURINAME	SUR
SVALBARD	SJM
SWAZILAND	SWZ
SWEDEN	SWE
SWITZERLAND	CHE
SYRIA	SYR
TAIWAN	TWN
TAJIKISTAN	TJK
TANZANIA	TZA
THAILAND	THA
TIMOR-LESTE (EAST TIMOR)	TLS
TOGO	TGO
TOKELAU	TKL
TONGA	TON
TRINIDAD AND TOBAGO	TTO
TUNISIA	TUN
TURKEY	TUR
TURKMENISTAN	TKM
TURKS AND CAICOS ISLANDS	TCA
TUVALU	TUV
UGANDA	UGA
UKRAINE	UKR

Country	Country Code
UNITED ARAB EMIRATES	ARE
UNITED KINGDOM	GBR
UNITED STATES	USA
UNITED STATES MINOR OUTLYING ISLANDS	UMI
URUGUAY	URY
UZBEKISTAN	UZB
VANUATU	VUT
VENEZUELA	VEN
VIETNAM	VNM
BRITISH VIRGIN ISLANDS	VGB
VIRGIN ISLANDS, U.S.	VIR
WALLIS AND FUTUNA	WLF
WESTERN SAHARA	ESH
YEMEN	YEM
ZAMBIA	ZWB
ZIMBABWE	ZWE
ÅLAND ISLANDS	ALA