

PERSHING STANDARD FILE LAYOUTS

APPENDIX V: PRINCIPAL / AGENCY CODES

USED IN THE FOLLOWING STANDARD FILES: GTOE, OELG

CODE	DESCRIPTION
A	Agency
B	Short Exempt Trades Agency Customers
C	Program Trade Non-Index Arbitrage Principal
D	Program Trade Index Arbitrage Principal
E	Short Exempt Trades Clearing Member
F	Short Exempt Trades Unaffiliated Member
H	Short Exempt Trades Individual Member
I	Individual
J	Program Trade Index Arbitrage Individual
K	Program Trade Non-Index Arbitrage Individual
L	Short Exempt Trades Market Maker Clearing Member
M	Other Member, Program Trade, Index Arbitrage Agency
N	Other Member, Program Trade, Non-Index Arbitrage Agency
O	Competing Market Maker Clearing Member
P	Principal
Q	Used on a Proprietary Trade by a Member to Cover a Member's Error
R	Competing Market Maker Clearing Non-Member
T	Competing Market Maker Unaffiliated Member
U	Agency, Index Arbitrage
W	Other Member, Non-Program Trade Agency
X	Short Exempt Trades Market Maker Unaffiliated Member
Y	Program Trade Non-Index Arbitrage Agency
Z	Short Exempt Trades Market Maker Non-Member
1	OTC - Program Trade Only
2	OTC - Index Arbitrage Trade Only
3	OTC - Both Program and Index Arbitrage Trade
4	OTC - Neither Program and Index Arbitrage Trade
5	MFNL Broker
6	MFNL Street-side (agency)
7	MFNL Contra broker
8	MFNL Unknown
9	Fixed Income Pershing Principal Trade
0	Fixed Income Pershing Agency Trade
G	Fixed Income Firm Principal Trade
S	Fixed Income Firm Agency Trade
999	Unknown or not populated