



# **Net Exchange Service XML Specification 2.4 For Data Mart**

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# 1 ACCTINTPARTY MESSAGE

## 1.1 ACCTINTPARTY XML DEFINITION

### 1.1.1 acctIntParty Request

#### 1.1.1.1 accountIntParty Request Section

Field	No.	XML:Type [Size]	R/O	Description
formId	1	xsd:string [4]	O	Values can be NADD NCHG SUPA SUPC
correspondentNumber	2	xsd:string [3]	O	Correspondent Number
dataTimestamp	3	xsd:dateTime	O	Date and Time of Data
milliSecond	4	xsd:string [6]	O	
action	5	xsd:string [1]	O	ADD/DELETE/CHANGE Indicator A - Add D - Delete C - Change
accountNumber	6	xsd:string [9]	O	ACCOUNT NUMBER INCLUDING OFFICE: OFFICE (3); BASE ACCOUNT NUMBER (5); CHECK DIGIT (1)
recordType	7	xsd:string [3]	O	RECORD TYPE; acceptable values include: "501" = Other Party RVP/DVP Address "601" = Interested Party Information "602" = Interested Party Information "900-999" = Interested Party Information
confirmQuantity	8	xsd:string [2]	O	NUMBER OF CONFIRMATIONS for record 901 Not Used for records 501, 601, 602, and 902
statementQuantity	9	xsd:string [2]	O	NUMBER OF STATEMENTS for record 901 Not Used for records 501, 601, 602, and 902
institutionNumber	10	xsd:integer [5]	O	INSTITUTION NUMBER for record 501 Not Used for records 601, 602, 901, and 902
nameAddressLine1	11	xsd:string [32]	O	NAME AND ADDRESS LINE 1
nameAddressLine2	12	xsd:string [32]	O	NAME AND ADDRESS LINE 2
nameAddressLine3	13	xsd:string [32]	O	NAME AND ADDRESS LINE 3
nameAddressLine4	14	xsd:string [32]	O	NAME AND ADDRESS LINE 4
nameAddressLine5	15	xsd:string [32]	O	NAME AND ADDRESS LINE 5 for records 501, 901, and 902 Not Used for records 601 and 602
nameAddressLine6	16	xsd:string [32]	O	NAME AND ADDRESS LINE 6 for records 501, 901, and 902 Not Used for records 601 and 602

## 2 ACCTMAIN MESSAGE

### 2.1 ACCTMAIN XML DEFINITION

#### 2.1.1 acctMain Request

##### 2.1.1.1 accountMain Request Section

Field	No.	XML:Type [Size]	R/O	Description
formId	1	xsd:string [4]	O	Values can be NADD NCHG SUPA SUPC
correspondentNumber	2	xsd:string [3]	O	Correspondent Number
dataTimestamp	3	xsd:dateTime	O	Date and Time of Data
milliSecond	4	xsd:string [6]	O	
action	5	xsd:string [1]	O	ADD/DELETE/CHANGE Indicator A - Add D - Delete C - Change
accountNumber	6	xsd:string [9]	O	ACCOUNT NUMBER INCLUDING OFFICE (3); BASE ACCOUNT NUMBER (5); CHECK DIGIT (1)
recordType	7	xsd:string [3]	O	Pershing Record Type "101" = Main Customer Information "501" = Institutional Record Type "601" = Institutional Interested Party "602" = Institutional Party "801" = DLJSC Retirement Information (B-1 and B-3 Accounts) "901-999" = Interested Party Information
formatIndicator	8	xsd:string [1]	O	FORMAT; acceptable values include: "1" = Omnibus "2" = Disclosed
confirmQuantity	9	xsd:string [2]	O	NUMBER OF CONFIRMATIONS
statementQuantity	10	xsd:string [2]	O	NUMBER OF STATEMENTS
taxIdNumber	11	xsd:string [9]	O	TAX IDENTIFICATION NUMBER; can be either a Social Security Number (SSN) or a Tax Identification Number (TIN)
taxIdType	12	xsd:string [1]	O	acceptable values include: "S" = Social Security Number "T" = Tax Identification Number "N" = Not Applicable
postalCode	13	xsd:string [6]	O	POSTAL CODE (please note that a Canadian client address will reflect all zeroes)
stateProvince	14	xsd:string [3]	O	State Code; see Appendix G, State and Country Codes
assetMgmtAccountIndicator	15	xsd:string [1]	O	ASSET MANAGEMENT ACCOUNT INDICATOR; acceptable values include: "0" = Not Applicable "1" = Cash "2" = Margin "7" = Sweep "8" = Bank Link

Field	No.	XML:Type [Size]	R/O	Description
shortName	16	xsd:string [10]	O	ACCOUNT SHORT NAME; refer to the PONA Quick Reference
rrCode	17	xsd:string [3]	O	REGISTERED REPRESENTATIVE NUMBER
incomeId	18	xsd:string [1]	O	DIVIDEND (INCOME) INSTRUCTIONS; acceptable values include: "2" = Pay Monthly "3" = Credit Account "4" = Hold
institutionalDeliveryNumber	19	xsd:integer [5]	O	INSTITUTIONAL DELIVERY NUMBER (DTC Number)
pendingCloseIndicator	20	xsd:string [1]	O	PENDING/CLOSED INDICATOR; acceptable values include: "P" = Pending/Close "C" = Closed BLANK = Not Applicable
creditInterestIndicator	21	xsd:string [1]	O	CREDIT INTEREST INDICATOR; acceptable values include: "A" = Internal Retail Transfer (cont.) "C" = Restricted account as defined by your firm, cannot be changed, not eligible for credit interest "N" = Customer does not receive credit interest "R" = Restricted account because of type, for instance firm account, sweep account, or bank link account "Y" = Client received credit interest
dateOpened	22	xsd:date	O	DATE OPEN
investmentClubAgreementIndicator	23	xsd:string [1]	O	INVESTMENT CLUB AGREEMENT; acceptable values include: BLANK = No Papers on File "0" = Requested Papers "1" = Received Papers
joinAccountAgreementIndicator	24	xsd:string [1]	O	JOINT ACCOUNT AGREEMENT; acceptable values include: BLANK = No Papers on File "0" = Requested Papers "1" = Joint Tenants with Right of Survivorship "2" = Joint Tenants in Common "3" = Joint Tenants in Entirety
estateAccountAgreementIndicator	25	xsd:string [1]	O	ESTATE A/C; acceptable values include: BLANK = No Papers "0" = Requested Papers "1" = Received Papers
tradeAuthorityIndicator	26	xsd:string [1]	O	TRADING AUTHORIZATION; acceptable values include: BLANK = No Papers "0" = Requested Papers "1" = Discretionary Full "2" = Discretionary LTD (cont.) "3" = Third Party Full "4" = Third Party Limited
corporateAgreementIndicator	27	xsd:string [1]	O	CORPORATE AGREEMENT; acceptable values include: BLANK = No Papers "0" = Requested Papers "1" = Corporate Agreement on File "2" = Corporate Agreement Waived

Field	No.	XML:Type [Size]	R/O	Description
				"3" = Third Party Full
investmentAdvisoryIndicator	28	xsd:string [1]	O	INVESTMENT ADVISORY; acceptable values include: BLANK = No Papers "0" = Requested Papers "1" = Received Papers
partnershipPapersIndicator	29	xsd:string [1]	O	PARTNERSHIP PAPERS; acceptable values include: BLANK = No Papers "0" = Requested Papers "1" = Received Papers
marginAgreementIndicator	30	xsd:string [1]	O	MARGIN AGREEMENT; acceptable values include: BLANK = No Papers "0" = Requested Papers "1" = Margin and Loan "2" = Margin Only "3" = Loan Only
optionAgreementIndicator	31	xsd:string [1]	O	OPTION AGREEMENT; acceptable values include: BLANK = No Papers "0" = Requested Papers "1" = Covered Only "2" = Covered and Spread "3" = Covered, Spread, and Uncovered "4" = Covered and Long "5" = All Options "6" = Long Only "7" = Long, Covered, and Spread
trustAgreementIndicator	32	xsd:string [1]	O	TRUST AGREEMENT; acceptable values include: BLANK = No Papers "0" = Requested Papers "1" = Revocable Trust "2" = Irrevocable Trust "3" = Guardian Minor "4" = Guardian Incompetent "5" = Custodian "6" = Estate (cont.)
dljscNewAccountPapersIndicator	33	xsd:string [1]	O	DLJSC NEW ACCOUNT PAPERS; acceptable values include: BLANK = No Papers "0" = Requested Papers "1" = Received Papers
newAccountFormIndicator	34	xsd:string [1]	O	NEW ACCOUNT FORM; acceptable values include: BLANK = No Papers "0" = Requested Papers "1" = Received Papers
SurveyCard14B1Indicator	35	xsd:string [1]	O	14B-1 SURVEY CARD; acceptable values include: "0" = Received Papers (no disclosure) "1" = Did Not Receive Papers (the system automatically defaults to 1)
tefraWithholdingIndicator	36	xsd:string [1]	O	TEFRA WITHHOLDING; acceptable values include:

Field	No.	XML:Type [Size]	R/O	Description
				"B" = BIRS Notice "C" = CIRS Notice
w9Date	37	xsd:date	O	W-9 DATE; (IRS form used to proved Pershing with the Taxpayer Identification Number. It certifies that the number is valid and that the taxpayer is not subject to backup withholding (31% of interest and dividends), or to claim an exemption from backup withholding if the taxpayer is an exempt payee)
w8Date	38	xsd:date	O	W-8 DATE ; (IRS form used to inform Pershing that the person is a nonresident alien or a foreign entity not subject to 1099 reporting or backup withholding; a foreign person may be exempt from withholding on interest income derived from "portfolio debt" only if a properly executed Form W-8 has been received)
date1001	39	xsd:date	O	1001 DATE (IRS form that informs Pershing of a reduced rate of withholding on interest income derived from bonds issued before July 18, 1984; the reduced rate is due to an income tax treaty with the country in which the person is a resident)
date4224	40	xsd:date	O	4224 DATE [IRS form used to inform Pershing that the income we pay is in connection with a U.S. trade or business; it certifies that the income(interest and dividends) will not be subject to a 31% (or lower treaty) withholding rate ]
taxIdNumberRequiredDate	41	xsd:date	O	TAX IDENTIFICATION NUMBER REQUIRED DATE
dueDiligenceDate	42	xsd:date	O	DUE DILIGENCE DATE
nonCustPrimeBkr	43	xsd:string [1]	O	NONCUSTOMER CODE; acceptable values include: BLANK = Retail and COD Accounts "F" = Free Fund Letter; This signifies that the investment professional is not the prime broker and each time a trade is made, a free fund letter must be presented. "X" = Execution (done for executing prime brokers) "N" = Test Accounts "S" = Commission Accounts "C" = Broker-Dealer Credit Account (Pershing executes trades: for the account of the clearing broker, in this case, there isn't a client involved) "E" = Old Code for the Executing of Prime Brokers' Trades (same as "X"); will be automatically converted to "X" "T" = Note Used "B" = Signifies Pershing as the Prime Broker "P" = Not Used
debitOmnibusInterest	44	xsd:string [1]	O	DEBIT OMNIBUS INTEREST; acceptable values include: BLANK = Not Applicable "1" = Interest Bearing "2" = Noninterest Bearing; cash on delivery
bankStatementDay	45	xsd:string [2]	O	BANK STATEMENT DATE; acceptable values include; BLANK = Not Applicable "01 - 31" = Accepted date
retirementPlanType	46	xsd:string [1]	O	TYPE OF RETIREMENT PLAN; see Appendix D, Plan Types
sundryAccountNumber	47	xsd:string [1]	O	SUNDRY ACCOUNT NUMBER;

Field	No.	XML:Type [Size]	R/O	Description
				acceptable values include: BLANK = Not Applicable "S" = Sundry Account
mailDivert	48	xsd:string [1]	O	MAIN DIVERT; acceptable values include: BLANK = Not Diverted "Y" = Diverted
dljscTrusteeIndicator	49	xsd:string [1]	O	DLJSC TRUSTEE INDICATOR FOR SEP/IRA/KEOGH; accepted values include: "1" = DLJSC is Trustee/Serving Agent "2" = Third Party Trustee
birthDate	50	xsd:date	O	CUSTOMER BIRTHDATE
businessPhoneNumber	51	xsd:string [10]	O	BUSINESS TELEPHONE NUMBER (area code plus
validTaxIdNumber	52	xsd:string [1]	O	VALID TAX IDENTIFICATION NUMBER; acceptable values include: BLANK = Account Tax ID Number is Equal to Zeros "1" = Valid Tax Identification Number "0" = Indicator For Foreign Account
capsMasterMnemonic	53	xsd:string [9]	O	CLIENT MNEMONIC (populated for DLJSC accounts; free form field for all other correspondents)
accountMnemonic	54	xsd:string [10]	O	ACCOUNT MNEMONIC (this field is not used for CAPS or RIA mailings, this is a blank field)
employeeIndicator	55	xsd:string [1]	O	EMPLOYEE; acceptable values include: BLANK = No "1" = Yes
payoutCode	56	xsd:string [2]	O	PAYOUT CODE (free form field for most
scanTrader	57	xsd:string [4]	O	SCAN TRADER (free form field for most correspondent)
closeDate	58	xsd:date	O	DATE CLOSED
homePhoneNumber	59	xsd:string [10]	O	HOME TELEPHONE NUMBER (area code and
accountCategory	60	xsd:string [4]	O	ACCOUNT CATEGORY; acceptable values include: "BKCL" = Bank Collateral Account "CLUB" = Investment Club "COD" = Receive/Deliver vs. Payment "CORN" = Non-Corporate Account "CORP" = Corporation Pension and Profit Sharing Plan "CUST" = Custodian "DLJSCC" = DLJSC Retirement Account – SIMPLE "DLJI" = DLJSC Retirement Account "DLJP" = DLJSC SEP Prototype "DLJQ" = DLJSC Qualified Retirement Plan "DLJS" = DLJSC Retirement Account SEP/SARSEP "ESTT" = Estate "EXMP" = Exempt Organization "FINL" = Financial Organization "GOVT" = Government Entity/Agency "GRDN" = Guardian/Conservatorship "IACP" = Investment Advisor/Corporation "IACU" = Investment Advisor/Custodian (cont.)



Field	No.	XML:Type [Size]	R/O	Description
				"IAES" = Investment Advisor/Estate "IAGU" = Investment Advisor/Guardian "IAGV" = Investment Advisor/Government Agency "IAIN" = Investment Advisor/Joint "IANP" = Investment Advisor/Non-Profit Organization "IAPA" = Investment Advisor/Partnership "IAPP" = Investment Advisor Corporation Pension/Profit Sharing "IART" = Investment Advisor/Retirement Account "IASP" = Investment Advisor/Sole Proprietor "IATI" = Investment Advisor/TOD Individual "IATJ" = Investment Advisor/TOD Joint "IATR" = Investment Advisor/Trust "INDV" = Individual "INVA" = Investment Advisor/Managed Account "JNTN" = Joint "KUST" = Customer Profile "MISC" = Miscellaneous (default category) "NPRO" = Non-Profit Organization "PART" = Partnership "PWRA" = Power of Attorney "RETC" = Third Party as Custodian (SIMPLE IRA) "RETE" = Third Party as Custodian (ERISA IRA) "RETI" = Third Party as Custodian (Retirement Account) "RETP" = Third Party as Custodian (Prototype SEP) "RETQ" = Third Party as Custodian (QRP) "RETR" = Third Party as Custodian (Roth IRA) "RETS" = Third Party as Custodian (SEP or SARSEP) "SOLE" = Sole Proprietorship "TODI" = Transfer on Death (Individual) (cont.) "TODJ" = Transfer on Death (Joint Account) "TRST" = Trust
nameAddressLine1	61	xsd:string [32]	O	NAME AND ADDRESS LINE 1
nameAddressLine2	62	xsd:string [32]	O	NAME AND ADDRESS LINE 2
nameAddressLine3	63	xsd:string [32]	O	NAME AND ADDRESS LINE 3
nameAddressLine4	64	xsd:string [32]	O	
nameAddressLine5	65	xsd:string [32]	O	
nameAddressLine6	66	xsd:string [32]	O	

### 3 ACCTRETIREMENT MESSAGE

#### 3.1 ACCTRETIREMENT XML DEFINITION

##### 3.1.1 acctRetirement Request

##### 3.1.1.1 accountRetirement Request Section

Field	No.	XML:Type [Size]	R/O	Description
formId	1	xsd:string [4]	O	Values can be NADD NCHG SUPA SUPC
correspondentNumber	2	xsd:string [3]	O	Correspondent Number
dataTimestamp	3	xsd:dateTime	O	Data and Time of Data
milliSecond	4	xsd:string [6]	O	
action	5	xsd:string [1]	O	
accountNumber	6	xsd:string [9]	O	ACCOUNT NUMBER INCLUDING OFFICE: OFFICE (3); BASE ACCOUNT NUMBER (5); CHECK DIGIT (1)
recordType	7	xsd:string [3]	O	RECORD TYPE = "801"
planType	8	xsd:string [1]	O	TYPE OF RETIREMENT; see Appendix D, Plan Types
accountType	9	xsd:string [1]	O	RETIREMENT ACCOUNT TYPE; acceptable values include: "1" = Participant "2" = Spousal "3" = Rollover "4" = Inheritance "5" = Employee "6" = Omnibus "7" = Guardian
adoptionAgreementIndicator	10	xsd:string [1]	O	RETIREMENT ADOPTION AGREEMENT; acceptable values include: BLANK or "0" = No Papers "1" = Received Papers
disabilityPaperReceive	11	xsd:string [1]	O	DISABILITY PAPERS; acceptable values include: (cont.) BLANK or "0" = No Papers "1" = Received Papers
gender	12	xsd:string [1]	O	SEX OF THE PARTICIPANT = "M" or "F"
brokerageAccountNumberIndicator	13	xsd:string [1]	O	BROKERAGE ACCOUNT NUMBER BLANK = No account (any other value indicates that a brokerage account number exists, and the value will be the first number of the account)
taxIdNumber	14	xsd:string [9]	O	TAX IDENTIFICATION NUMBER
dateOfDeath	15	xsd:date	O	DATE OF DEATH
beneficiaryIndicator	16	xsd:string [1]	O	RETIREMENT BENEFICIARY INDICATOR*; acceptable values include: "1" = Spouse "2" = Nonspouse "3" = None "4" = Other *Number for qualified plans; see Appendix D, Plan Types
dateOfBirth	17	xsd:date	O	DATE OF BIRTH

Field	No.	XML:Type [Size]	R/O	Description
genderOfBeneficiary	18	xsd:string [1]	O	SEX OF BENEFICIARY = "M" or "F"
spouseAccountNumber	19	xsd:string [9]	O	SPOUSE ACCOUNT NUMBER (if spouse has an account number at Pershing)
custdateGiftGiven	20	xsd:date	O	CUSTODIAN DATE
maritalStatus	21	xsd:string [1]	O	MARITAL STATUS = "M" or "S"
iraSepKeoghEmpAccountNumber	22	xsd:string [9]	O	IRA/SEP/KEOGH/EMP ACCOUNT NUMBER
secondaryBeneficiaryIndicator	23	xsd:string [1]	O	SECONDARY BENEFICIARY INDICATOR = "Y" or "N"
adoptionAgreementReceiveDate	24	xsd:date	O	DATE ADOPTION AGREEMENT RECEIVED
spousalAgreementDate	25	xsd:date	O	SPOUSAL AGREEMENT DATE ( if spouse has an account number at Pershing)
nameAddressLine1	26	xsd:string [32]	O	NAME AND ADDRESS LINE 1; first beneficiary name
nameAddressLine2	27	xsd:string [32]	O	NAME AND ADDRESS LINE 2

## 4 ACCTSUPPLEMENTAL MESSAGE

### 4.1 ACCTSUPPLEMENTAL XML DEFINITION

#### 4.1.1 acctSupplemental Request

##### 4.1.1.1 accountSupplemental Request Section

Field	No.	XML:Type [Size]	R/O	Description
formId	1	xsd:string [4]	O	Values can be NADD NCHG SUPA SUPC
correspondentNumber	2	xsd:string [3]	O	Correspondent Number
dataTimestamp	3	xsd:dateTime	O	Data and Time of Data
milliSecond	4	xsd:string [6]	O	
action	5	xsd:string [1]	O	
accountNumber	6	xsd:string [9]	O	ACCOUNT NUMBER INCLUDING OFFICE: OFFICE (3); BASE ACCOUNT NUMBER (5); CHECK DIGIT (1)
recordType	7	xsd:string [3]	O	RECORD TYPE = "777"
planType	8	xsd:string [2]	O	401K PLAN TYPE ; see Appendix D, Plan Types
planNumber	9	xsd:string [10]	O	Plan Number
userDefinedInfo1	10	xsd:string [15]	O	USER DEFINED INFO 1
userDefinedInfo2	11	xsd:string [15]	O	USER DEFINED INFO 2
userDefinedInfo3	12	xsd:string [15]	O	USER DEFINED INFO 3
productCode	13	xsd:string [4]	O	PRODUCT CODE ( user specific)
customerType	14	xsd:string [4]	O	CUSTOMER TYPE ( user specific)
accountType	15	xsd:string [4]	O	ACCOUNT TYPE ( user specific)
promotionalType	16	xsd:string [4]	O	PROMOTIONAL TYPE ( user specific)
actionDate	17	xsd:date	O	on Add will be add date, on Change will be change date, on Full Refresh will be presented date
managedAcctIndicator	18	xsd:string [1]	O	MANAGED ACCOUNT; acceptable values include: "N" = No (Default Value) "Y" = Yes
managedAccountSubType	19	xsd:string [2]	O	AN MANAGED ACCOUNT TYPE; field is populated if value in the MANAGED ACCOUNT field = "Y", else field will be spaces; acceptable values include: "P1" = Peak 1 "P2" = Peak 2 "PP" = Peak Plus "M " = MAP "C " = CIMS
feeBasedIndicator	20	xsd:string [1]	O	AN FEE BASED; acceptable values include: "N" = No (Default Value) "Y" = Yes
feeBasedSubType	21	xsd:string [2]	O	AN FEE BASED ACCT TYPE: field is populated if value in the FEE BASED field = "Y", else field will be spaces; acceptable values include:

Field	No.	XML:Type [Size]	R/O	Description
				"FC" = Flat Commission "NC" = No Commission
oldAccountNumber	22	xsd:string [20]	O	OLD ACCOUNT NUMBER
originalOpenDate	23	xsd:date	O	ORIGINAL OPEN DATE
referralCode	24	xsd:string [1]	O	REFERRAL CODE ( user defined value)
referralIdNumber	25	xsd:string [9]	O	REFERRAL IDENTIFICATION NUMBER
educationIRAContributorName	26	xsd:string [32]	O	EDUCATION/IRA CONTRIBUTOR NAME
powerOfAttorneyName	27	xsd:string [32]	O	Power Of Attorney Name
secondSSN	28	xsd:string [9]	O	Second Social Security Number for Joint Account use
employeeIndicator	29	xsd:string [2]	O	EMPLOYEE INDICATOR acceptable values include: "B " = Employee of the Broker Dealer (cont.) "C " = Corporate Employee "E " = Brokerage Employee "L " = Licensed Employee "R " = Employee Related
internalProfitCenterNumber	30	xsd:string [5]	O	INTERNAL PROFIT CENTER NUMBER
discountIndicator	31	xsd:string [1]	O	DISCOUNT INDICATOR ( user defined)
nonDollarAccount	32	xsd:string [1]	O	NON-DOLLAR ACCOUNT
block12B1Fees	33	xsd:string [1]	O	BLOCK 12B1 FEES; accepted values include:
optOut	34	xsd:string [2]	O	OPT OUT (user defined values)
solicitation	35	xsd:string [2]	O	SOLICITATION ( user defined values)
emailAddress	36	xsd:string [60]	O	E-MAIL ADDRESS

## 5 GLBALANCECASHDATASERVICE MESSAGE

### 5.1 GLBALANCECASHDATASERVICE XML DEFINITION

#### 5.1.1 glBalanceCashDataService Request

##### 5.1.1.1 glMI2kCashAlert Request Section

Field	No.	XML:Type [Size]	R/O	Description
correspondentNumber	1	xsd:string [3]	O	Correspondent Number
dataTimestamp	2	xsd:dateTime	O	Date and Time of Data
milliSecond	3	xsd:string [6]	O	
accountNumber	4	xsd:string [9]	O	ACCOUNT NUMBER
accountType	5	xsd:string [1]	O	account Type = "1" (cash)
registeredRepNumber	6	xsd:string [3]	O	REGISTERED REPRESENTATIVE NUMBER
tradeDate	7	xsd:date	O	trade Date
tradeDateBalance	8	xsd:decimal [16.2]	O	ACCOUNT USD TRADE DATE BALANCE  "- " = Credit Amount "+ " = Debit Amount
settlementDate	9	xsd:date	O	settlement Date
settlementDateBalance	10	xsd:decimal [16.2]	O	ACCOUNT USD SETTLEMENT DATE BALANCE; "- " = Credit Amount "+ " = Debit Amount
tradeDateMarketValue	11	xsd:decimal [16.2]	O	ACCOUNT (TRADE DATE) MARKET VALUE; "+ " = Credit Amount "- " = Debit Amount
equity	12	xsd:decimal [16.2]	O	ACCOUNT EQUITY; "+ " = Credit Amount "- " = Debit Amount
unavailableFunds	13	xsd:decimal [16.2]	O	ACCOUNT UNAVAILABLE FUNDS; "- " = Credit Amount; displayed on NetExchange as a positive number " " or "+ " = Not Applicable/Debit Amount
cashAvailable	14	xsd:decimal [16.2]	O	ACCOUNT CASH AVAILABLE ; "+ " = Debit Amount "- " = Credit Amount
tradeDateCreditBalanceInUSDE	15	xsd:decimal [16.2]	O	ACCOUNT TRADE DATE FOREIGN CURRENCY CREDIT BALANCE IN USDE;  "- " = Credit Amount
tradeDateDebitBalanceInUSDE	16	xsd:decimal [16.2]	O	ACCOUNT TRADE DATE FOREIGN CURRENCY DEBIT BALANCE IN USDE ;  "+ " = Debit Amount
settlementDateCreditBalanceInUSDE	17	xsd:decimal [16.2]	O	ACCOUNT SETTLEMENT DATE FOREIGN CURRENCY CREDIT BALANCE IN USDE ;  "- " = Credit Amount
settlementDateDebitBalanceInUSDE	18	xsd:decimal [16.2]	O	ACCOUNT SETTLEMENT DATE FOREIGN CURRENCY DEBIT BALANCE IN USDE ;

Field	No.	XML:Type [Size]	R/O	Description
eInUSDE				CURRENCY DEBIT BALANCE IN USDE; "+ " = Debit Amount
dateofData	19	xsd:date	O	DATE OF DATA = "CCYYMMDD"
pendingMoneyfundSweepAmount	20	xsd:decimal [16.2]	O	A negative (-) indicates debit money funds credit brokerage cash. Positive (+) is credit money funds debit brokerage

## 6 GLBALANCECODDATASERVICE MESSAGE

### 6.1 GLBALANCECODDATASERVICE XML DEFINITION

#### 6.1.1 glBalanceCodDataService Request

##### 6.1.1.1 gIMI2kDVPRVPAAlert Request Section

Field	No.	XML:Type [Size]	R/O	Description
correspondentNumber	1	xsd:string [3]	O	Correspondent Number
dataTimestamp	2	xsd:dateTime	O	Date and Time of Data
milliSecond	3	xsd:string [6]	O	
accountNumber	4	xsd:string [9]	O	ACCOUNT NUMBER
accountType	5	xsd:string [1]	O	ACCOUNT TYPE = "0" (DVP/RVP [COD])
registeredRepNumber	6	xsd:string [3]	O	REGISTERED REPRESENTATIVE NUMBER
tradeDate	7	xsd:date	O	trade Date
tradeDateBalance	8	xsd:decimal [16.2]	O	TRADE DATE BALANCE; "- " = Credit Amount "+ " = Debit Amount
settlementDate	9	xsd:date	O	settlement Date
settlementDateBalance	10	xsd:decimal [16.2]	O	ACCOUNT USD SETTLEMENT DATE BALANCE; "- " = Credit Amount "+ " = Debit Amount
tradeDateMarketValue	11	xsd:decimal [16.2]	O	(TRADE DATE) MARKET VALUE "+ " = Credit Amount "- " = Debit Amount
equity	12	xsd:decimal [16.2]	O	ACCOUNT EQUITY; "+ " = Credit Amount "- " = Debit Amount
unavailableFunds	13	xsd:decimal [16.2]	O	ACCOUNT UNAVAILABLE FUNDS; "- " = Credit Amount "+ " = Debit Amount /Not Applicable
cashAvailable	14	xsd:decimal [16.2]	O	ACCOUNT CASH AVAILABLE; "+ " = Debit Amount "- " = Credit Amount
tradeDateCreditBalanceInUSDE	15	xsd:decimal [16.2]	O	ACCOUNT TRADE DATE FOREIGN CURRENCY CREDIT BALANCE IN USDE; "- " = Credit Amount
tradeDateDebitBalanceInUSDE	16	xsd:decimal [16.2]	O	ACCOUNT TRADE DATE FOREIGN CURRENCY DEBIT BALANCE IN USDE; "+ " = Debit Amount
settlementDateCreditBalanceInUSDE	17	xsd:decimal [16.2]	O	ACCOUNT SETTLEMENT DATE FOREIGN CURRENCY CREDIT BALANCE IN USDE ; "- " = Credit Amount
settlementDateDebitBalanceInUSDE	18	xsd:decimal [16.2]	O	ACCOUNT SETTLEMENT DATE FOREIGN CURRENCY DEBIT BALANCE IN USDE; "+ " = Debit Amount
dateofData	19	xsd:date	O	



## 7 GLBALANCEMARGNDATASERVICE MESSAGE

### 7.1 GLBALANCEMARGNDATASERVICE XML DEFINITION

#### 7.1.1 glBalanceMargnDataService Request

##### 7.1.1.1 gIMI2kMarginAlert Request Section

Field	No.	XML:Type [Size]	R/O	Description
correspondentNumber	1	xsd:string [3]	O	Correspondent Number
dataTimestamp	2	xsd:dateTime	O	Date and Time of Data
milliSecond	3	xsd:string [6]	O	
accountNumber	4	xsd:string [9]	O	ACCOUNT NUMBER
accountType	5	xsd:string [1]	O	ACCOUNT TYPE = "2" (Margin)
registeredRepNumber	6	xsd:string [3]	O	REGISTERED REPRESENTATIVE NUMBER
tradeDate	7	xsd:date	O	trade Date
tradeDateBalance	8	xsd:decimal [16.2]	O	ACCOUNT USD TRADE DATE BALANCE ;  "- " = Credit Amount "+ " = Debit Amount
settlementDate	9	xsd:date	O	settlement Date
settlementDateBalance	10	xsd:decimal [16.2]	O	ACCOUNT USD SETTLEMENT DATE BALANCE;  "- " = Credit Amount "+ " = Debit Amount
tradeDateMarketValue	11	xsd:decimal [16.2]	O	ACCOUNT (TRADE DATE) MARKET VALUE;  "+ " = Credit Amount "- " = Debit Amount
equity	12	xsd:decimal [16.2]	O	ACCOUNT EQUITY;  "+ " = Credit Amount "- " = Debit Amount
unavailableFunds	13	xsd:decimal [16.2]	O	ACCOUNT UNAVAILABLE FUNDS;  "- " = Credit Amount "+ " = Debit Amount /Not Applicable
cashAvailable	14	xsd:decimal [16.2]	O	ACCOUNT CASH AVAILABLE ;  "- " = Credit Amount "+ " = Debit Amount/Not Applicable
houseCallOrSurplus	15	xsd:decimal [16.2]	O	ACCOUNT HOUSE CALL/SURPLUS; "+ " = Call; (displayed on NetExchange as a negative number) "- " = Surplus; (displayed on NetExchange as a positive number)
NYSECallOrSurplus	16	xsd:decimal [16.2]	O	ACCOUNT NYSE CALL/SURPLUS;  "+ " = Call; (displayed on NetExchange as a negative number) "- " = Surplus; (displayed on NetExchange as a positive number)

Field	No.	XML:Type [Size]	R/O	Description
dateofData	17	xsd:date	O	
<b>foreignCurrencyBalance Info</b>	<b>18</b>	<b>group occurs</b>	<b>O</b>	
trdDtFrnCurCreditBalance	19	xsd:decimal [16.2]	O	ACCOUNT TRADE DATE FOREIGN CURRENCY CREDIT BALANCE IN USDE  "- "= Credit Amount
trdDtFrnCurDebitBalance	20	xsd:decimal [16.2]	O	ACCOUNT TRADE DATE FOREIGN CURRENCY DEBIT BALANCE IN USDE  "+ " = Debit Amount
stlDtFrnCurCreditBalance	21	xsd:decimal [16.2]	O	ACCOUNT SETTLEMENT DATE FOREIGN CURRENCY CREDIT BALANCE IN USDE  "- "=Credit Amount
stlDtFrnCurDebitBalance	22	xsd:decimal [16.2]	O	ACCOUNT SETTLEMENT DATE FOREIGN CURRENCY DEBIT BALANCE IN USDE  "+ " = Debit Amount

## 8 GLBALANCEPRECDAERVICE MESSAGE

### 8.1 GLBALANCEPRECDAERVICE XML DEFINITION

#### 8.1.1 glBalancePrecDataService Request

##### 8.1.1.1 gIMI2kPreciousmetAlert Request Section

Field	No.	XML:Type [Size]	R/O	Description
correspondentNumber	1	xsd:string [3]	O	Correspondent Number
dataTimestamp	2	xsd:dateTime	O	Date and Time of Data
milliSecond	3	xsd:string [6]	O	
accountNumber	4	xsd:string [9]	O	ACCOUNT NUMBER
accountType	5	xsd:string [1]	O	ACCOUNT TYPE = "8" (precious metals)
registeredRepNumber	6	xsd:string [3]	O	REGISTERED REPRESENTATIVE NUMBER
tradeDate	7	xsd:date	O	trade Date
tradeDateBalance	8	xsd:decimal [16.2]	O	ACCOUNT USD TRADE DATE BALANCE;  "- " = Credit Amount "+ " = Debit Amount
settlementDate	9	xsd:date	O	settlement Date
settlementDateBalance	10	xsd:decimal [16.2]	O	ACCOUNT USD SETTLEMENT DATE BALANCE;  "- " = Credit Amount "+ " = Debit Amount
tradeDateMarketValue	11	xsd:decimal [16.2]	O	ACCOUNT (TRADE DATE) MARKET VALUE;  "+ " = Credit Amount "- " = Debit Amount
equity	12	xsd:decimal [16.2]	O	ACCOUNT EQUITY;  "+ " = Credit Amount "- " = Debit Amount
unavailableFunds	13	xsd:decimal [16.2]	O	ACCOUNT UNAVAILABLE FUNDS;  "- " = Credit Amount "+ " = Debit Amount /Not Applicable
cashAvailable	14	xsd:decimal [16.2]	O	ACCOUNT CASH AVAILABLE;  "+ " = Debit Amount "- " = Credit Amount
tradeDateCreditBalanceInUSDE	15	xsd:decimal [16.2]	O	ACCOUNT TRADE DATE FOREIGN CURRENCY CREDIT BALANCE IN USDE;  "- " = Credit Amount
tradeDateDebitBalanceInUSDE	16	xsd:decimal [16.2]	O	ACCOUNT TRADE DATE FOREIGN CURRENCY DEBIT BALANCE IN USDE ;  "+ " = Debit Amount
settlementDateCreditBalanceInUSDE	17	xsd:decimal [16.2]	O	ACCOUNT SETTLEMENT DATE FOREIGN

Field	No.	XML:Type [Size]	R/O	Description
ceInUSDE				CURRENCY CREDIT BALANCE IN USDE; "- " = Credit Amount
settlementDateDebitBalanceInUSDE	18	xsd:decimal [16.2]	O	ACCOUNT SETTLEMENT DATE FOREIGN CURRENCY DEBIT BALANCE IN USDE; "+ " = Debit Amount
dateofData	19	xsd:date	O	

## 9 GLBALANCESHORTDATASERVICE MESSAGE

### 9.1 GLBALANCESHORTDATASERVICE XML DEFINITION

#### 9.1.1 glBalanceShortDataService Request

##### 9.1.1.1 gIMI2kShortAlert Request Section

Field	No.	XML:Type [Size]	R/O	Description
correspondentNumber	1	xsd:string [3]	O	Correspondent Number
dataTimestamp	2	xsd:dateTime	O	Date and Time of Data
milliSecond	3	xsd:string [6]	O	
accountNumber	4	xsd:string [9]	O	ACCOUNT NUMBER
accountType	5	xsd:string [1]	O	ACCOUNT TYPE = "3" (Short)
registeredRepNumber	6	xsd:string [3]	O	REGISTERED REPRESENTATIVE NUMBER
tradeDate	7	xsd:date	O	trade Date
tradeDateBalance	8	xsd:decimal [16.2]	O	ACCOUNT USD TRADE DATE BALANCE;  "- " = Credit Amount "+ " = Debit Amount
settlementDate	9	xsd:date	O	settlement Date
settlementDateBalance	10	xsd:decimal [16.2]	O	ACCOUNT USD SETTLEMENT DATE BALANCE;  "- " = Credit Amount "+ " = Debit Amount
tradeDateMarketValue	11	xsd:decimal [16.2]	O	ACCOUNT (TRADE DATE) MARKET VALUE;  "+ " = Credit Amount "- " = Debit Amount
equity	12	xsd:decimal [16.2]	O	ACCOUNT EQUITY;  "+ " = Credit Amount "- " = Debit Amount
unavailableFunds	13	xsd:decimal [16.2]	O	ACCOUNT UNAVAILABLE FUNDS;  "- " = Credit Amount "+ " = Debit Amount /Not Applicable
cashAvailable	14	xsd:decimal [16.2]	O	ACCOUNT CASH AVAILABLE;  "+ " = Debit Amount "- " = Credit Amount
dateofData	15	xsd:date	O	
<b>foreignCurrencyBalance Info</b>	<b>16</b>	<b>group occurs</b>	<b>O</b>	
trdDtFrnCurCreditBalance	17	xsd:decimal [16.2]	O	ACCOUNT TRADE DATE FOREIGN CURRENCY CREDIT BALANCE IN USDE  "- " = Credit Amount
trdDtFrnCurDebitBalance	18	xsd:decimal [16.2]	O	ACCOUNT TRADE DATE FOREIGN CURRENCY DEBIT BALANCE IN USDE

Field	No.	XML:Type [Size]	R/O	Description
				"+" = Debit Amount
stlDtFrnCurCreditBalance	19	xsd:decimal [16.2]	O	ACCOUNT SETTLEMENT DATE FOREIGN CURRENCY CREDIT BALANCE IN USDE  "- "=Credit Amount
stlDtFrnCurDebitBalance	20	xsd:decimal [16.2]	O	ACCOUNT SETTLEMENT DATE FOREIGN CURRENCY DEBIT BALANCE IN USDE  "+" = Debit Amount

## 10 GLBKKEEPINGDATASERVICE MESSAGE

### 10.1 GLBKKEEPINGDATASERVICE XML DEFINITION

#### 10.1.1 glbkkeepingDataService Request

##### 10.1.1.1 glbkactivityAlert Request Section

Field	No.	XML:Type [Size]	R/O	Description
correspondentNumber	1	xsd:string [3]	O	Correspondent Number
dataTimestamp	2	xsd:dateTime	O	Data Timestamp
milliSecond	3	xsd:string [6]	O	
accountNumber	4	xsd:string [9]	O	ACCOUNT NUMBER INCLUDING OFFICE(3); BASE ACCOUNT(5); CHECK DIGIT (1)
accountType	5	xsd:string [1]	O	ACCOUNT TYPE ; acceptable values for ACCOUNT TYPE include: "0" = Cash on Delivery "1" = Cash "2" = Margin "3" = Short "8" = Precious Metals "9" = Interest Adjustment
cusip	6	xsd:string [9]	O	CUSIP
underlyingCusip	7	xsd:string [9]	O	UNDERLYING CUSIP; may be blank
symbol	8	xsd:string [16]	O	SECURITY SYMBOL
registeredRepNumber	9	xsd:string [3]	O	RR - INVESTMENT PROFESSIONAL
executingRR	10	xsd:string [3]	O	EXECUTING INVESTMENT PROFESSIONAL; trade transactions only
transactionType	11	xsd:string [1]	O	TRANSACTION TYPE; acceptable values include: 'T' = Trade Date Trade 'S' = Settlement Date Trade " = Bookkeeping (nontrade) entry
buySellCode	12	xsd:string [1]	O	BUY/SELL CODE; acceptable values include: 'B' = Buy 'S' = Sell " (or any other character) = Nontrade Entry
OpenCloseIndicator	13	xsd:string [1]	O	OPEN/CLOSE INDICATOR (for options only); acceptable values include: 'O' = Opening Transaction 'C' = Closing Transaction "= Transaction is not an Option
parKeyCode	14	xsd:string [2]	O	PAR KEY CODE
sourceCode	15	xsd:string [3]	O	SOURCE CODE
maxxKey	16	xsd:integer [4]	O	MAXX KEY CODE
processDate	17	xsd:date	O	PROCESS DATE
tradeDate	18	xsd:date	O	TRADE DATE
settlementDate	19	xsd:date	O	SETTLEMENT/ENTRY DATE
sourceOfInput	20	xsd:string [2]	O	
referenceNumber	21	xsd:string [6]	O	REFERENCE NUMBER
batch	22	xsd:string [5]	O	BATCH CODE
settlementDay	23	xsd:string [1]	O	SAME DAY SETTLEMENT; any values for nontrades for internal use only; acceptable values include:

Field	No.	XML:Type [Size]	R/O	Description
				@ = Same Day Settlement Trades
contraAccount	24	xsd:string [10]	O	CONTRA ACCOUNT
marketCode	25	xsd:string [1]	O	acceptable values include: "1" = New York Stock Exchange (NYSE) "2" = NYSE ALT (formerly AMEX) "3" = Philadelphia (PHLX) "4" = Over the Counter (OTC) "5" = Boston "6" = Chicago Exchange (CHX) "7" = Chicago Board Options Exchange (CBOE) "8" = Over the Counter/National Clearing Corp. (OTC/NCC) "9" = Pacific (PSE) "8" + BLOT "5" = Cincinnati Principal "8" + BLOT "1" + CONTRA = "9600" Cincinnati Agency "6" + BLOT "2" = Exercised and Assigned Index Options "7" + BLOT "1" = Exercised and Assigned Equity Options
blotterCode	26	xsd:string [1]	O	method that the trade is executed; acceptable values include: "0" = Average Price "1" = Customer vs. the Street "2" = Option "3" = Agency, but used for Cash, Special Settlement, Next Day Trades "5" = Principal Cross Trade "6" = Syndicate Cross Trade "8" = Principal Cross Trade/Over the Counter (PCT/OTC) "9" = Agency Cross Trade
cancelCode	27	xsd:string [1]	O	CANCEL CODE Acceptable values include: 1 = Cancel Space = Not Applicable
correctionCode	28	xsd:string [1]	O	CORRECTION CODE Acceptable values include: 1 = Correction 5 = Post-settlement Cancel (there must be a 1 in Cancel Code when 5 is used) Space = Not Applicable
marketLimitOrderIndicator	29	xsd:string [1]	O	MARKET/LIMIT ORDER INDICATOR; valid only for trade transactions; acceptable values include: "M" = Market Order "L" = Limit Order "P" = Per; type of automated market order "D" = Dot; type of automated market order " " = Not Applicable
legendCode1	30	xsd:string [1]	O	
legendCode2	31	xsd:string [1]	O	
slsActivityIndicator	32	xsd:string [1]	O	acceptable values include:



Field	No.	XML:Type [Size]	R/O	Description
				"" = Not Applicable "I" = Income Related "L" = SLS Related "S" = Pending SLS Related "C" = Cash Sale "A" = As-of-Sale
quantity	33	xsd:decimal [13.5]	O	QUANTITY
price	34	xsd:decimal [9.9]	O	PRICE IN TRADE CURRENCY
PriceCurrency	35	xsd:string [3]	O	CURRENCY INDICATOR FOR PRICE
transactionNetAmount	36	xsd:decimal [15.3]	O	NET AMOUNT OF TRANSACTION IN USD OR USDE  + value is debit amount - value is credit amount
principal	37	xsd:decimal [15.3]	O	PRINCIPAL in USD or USDE  + value is debit amount - value is credit amount
interest	38	xsd:decimal [16.2]	O	INTEREST in USD or USDE accrued or accredited  + value is debit amount - value is credit amount
commission	39	xsd:decimal [16.2]	O	COMMISSION in USD or USDE  + value is debit amount - value is credit amount
tax	40	xsd:decimal [16.2]	O	TAX in USD or USDE  + value is debit amount - value is credit amount
transactionFee	41	xsd:decimal [16.2]	O	TRANSACTION FEE in USD or USDE  + value is debit amount - value is credit amount
miscFee	42	xsd:decimal [16.2]	O	MISC FEE in USD or USDE  + value is debit amount - value is credit amount
otherFee	43	xsd:decimal [16.2]	O	OTHER FEE in USD or USDE
tefraWithholdingAmount	44	xsd:decimal [16.2]	O	TEFRA WITHHOLDING AMOUNT in USD
pershingCharge	45	xsd:decimal [16.2]	O	PERSHING CHARGE in USD
brokerageCharge	46	xsd:decimal [16.2]	O	BROKERAGE CHARGE in USD
salesCredit	47	xsd:decimal [16.2]	O	SALES CREDIT in USD or USDE
settlementFee	48	xsd:decimal [16.2]	O	SETTLEMENT FEE in USD or USDE
serviceCharge	49	xsd:decimal [16.2]	O	SERVICE CHARGE in USD or USDE
markUpMarkDownAmount	50	xsd:decimal [16.2]	O	MARKUP/MARKDOWN AMOUNT in USD or USDE
dividendPayableDate	51	xsd:date	O	DIVIDEND PAYABLE DATE

Field	No.	XML:Type [Size]	R/O	Description
dividendRecordDate	52	xsd:date	O	DIVIDEND RECORD DATE
dividendType	53	xsd:integer [1]	O	DIVIDEND TYPE Acceptable values include: 3 = Equity or UIT Cash Dividend 5 = Stock Dividend or Split 7 = Spinoff Distribution 8 = Bond Interest
dividendReinvestmentIndicator	54	xsd:string [1]	O	DIVIDEND REINVESTMENT INDICATOR Acceptable values include: Y = Dividend Reinvestment N = Not a dividend reinvestment
sharesOfRecordQuantity	55	xsd:decimal [13.5]	O	SHARES OF RECORD QUANTITY FOR DIVIDENDS
orderSize	56	xsd:decimal [13.5]	O	ORDER SIZE QUANTITY (NOTE: This is an unsigned field. If the order is a sell, then you can review this value as a negative quantity.)
poolFactor	57	xsd:decimal [9.9]	O	POOL FACTOR
parsedCustomerAccountNumber	58	xsd:string [10]	O	PARSED CUSTOMER ACCOUNT NUMBER ASSOCIATED WITH FIRM ACCOUNT TRANSACTION for /MF, /FF, /UT, /NT SOURCE CODES
securityType	59	xsd:string [1]	O	SECURITY TYPE CODE
securityModifier	60	xsd:string [1]	O	SECURITY MODIFIER CODE
securityCalculationCode	61	xsd:string [1]	O	SECURITY CALCULATION CODE
minorproductCode	62	xsd:string [3]	O	MINOR PRODUCT CODE
foreignProductIndicator	63	xsd:string [1]	O	FOREIGN PRODUCT INDICATOR Acceptable values include: Space = Not Applicable 1 = Foreign Security
withDueBillIndicator	64	xsd:string [1]	O	WITH DUE BILL INDICATOR Acceptable values include: Space = Not Applicable 1 = Trading with Due Bill
taxableMuniBondIndicator	65	xsd:string [1]	O	TAXABLE MUNICIPAL BOND INDICATOR Acceptable values include: Space = Not Applicable 1 = Taxable Municipal Security
omniBusIndicator	66	xsd:string [1]	O	OMNIBUS INDICATOR Acceptable values include: 1 = Omnibus Space = Not Omnibus
externalOrderId	67	xsd:string [20]	O	EXTERNAL ORDER ID
marketValue	68	xsd:decimal [16.2]	O	MARKET VALUE OF TRANSACTION
rrParsedGMAR	69	xsd:string [3]	O	RR PARSED FROM GMAR DESCRIPTION for FIRM ACCOUNT TRANSACTIONS
reportedPrice	70	xsd:decimal [9.9]	O	REPORTED PRICE
previousDayValue	71	xsd:decimal [16.2]	O	PREVIOUS DAY MARKET VALUE OF TRANSACTION
priceInUSDE	72	xsd:decimal [9.9]	O	PRICE IN USDE
underlyingSymbol	73	xsd:string [6]	O	UNDERLYING SYMBOL
expirationDate	74	xsd:date	O	EXPIRATION DATE, in YYYYMMDD format
putCallCode	75	xsd:string [1]	O	PUT/CALL CODE Acceptable values include:

Field	No.	XML:Type [Size]	R/O	Description
				P = PUT C = Call
strikePrice	76	xsd:decimal [5.3]	O	STRIKE PRICE
<b>detailsInSettlementCurrency</b>	<b>77</b>	<b>group occurs</b>	<b>O</b>	<b>Record B</b>
securityCurrency	78	xsd:string [3]	O	SECURITY CURRENCY OF ISSUANCE; ISO code of the currency the security is denominated in, see Appendix N, "Currency Codes," for values
tradeCurrencyCode	79	xsd:string [3]	O	TRADE CURRENCY CODE
settlementCurrencyCode	80	xsd:string [3]	O	SETTLEMENT CURRENCY CODE
settlementUSDCurrencyFXRate	81	xsd:decimal [9.9]	O	SETTLEMENT – USD CURRENCY FX RATE
settlementUSDFXMultiplyDivideCode	82	xsd:string [1]	O	SETTLEMENT – USD MULTIPLY/DIVIDE CODE; acceptable values include: "M" = Multiply "D" = Divid
crossCurrencyFXRate	83	xsd:decimal [9.9]	O	CROSS CURRENCY FX RATE; rate to convert trade currency to settle currency
currencyMultiplyDivideCode	84	xsd:string [1]	O	CURRENCY MULTIPLY/DIVIDE CODE; acceptable values include: "M" = Multiply "D" = Divide
accruedInterest	85	xsd:decimal [16.2]	O	ACCRUED INTEREST IN SETTLEMENT CURRENCY
marketCode	86	xsd:string [12]	O	MARKET CODE
glossReference	87	xsd:string [20]	O	INTERNAL REFERENCE FOR GLOSS
IBDVersion	88	xsd:string [2]	O	Introducing Broker Dealer (IBD) VERSION
transactionNetAmount	89	xsd:decimal [16.2]	O	+ value is debit amount - value is credit amount
principal	90	xsd:decimal [16.2]	O	PRINCIPAL AMOUNT IN SETTLEMENT CURRENCY  + value is debit amount - value is credit amount
interest	91	xsd:decimal [16.2]	O	INTEREST IN SETTLEMENT CURRENCY  + value is debit amount - value is credit amount
commission	92	xsd:decimal [16.2]	O	COMMISSION IN SETTLEMENT CURRENCY  + value is debit amount - value is credit amount
tax	93	xsd:decimal [16.2]	O	TAX IN SETTLEMENT CURRENCY  + value is debit amount - value is credit amount
transactionFee	94	xsd:decimal [16.2]	O	TRANSACTION FEE IN SETTLEMENT CURRENCY  + value is debit amount

Field	No.	XML:Type [Size]	R/O	Description
				- value is credit amount
miscFee	95	xsd:decimal [16.2]	O	MISCELLANEOUS FEE IN SETTLEMENT CURRENCY  + value is debit amount - value is credit amount
otherFee	96	xsd:decimal [16.2]	O	OTHER FEE IN SETTLEMENT CURRENCY  + value is debit amount - value is credit amount
salesCredit	97	xsd:decimal [16.2]	O	SALES CREDIT IN SETTLEMENT CURRENCY  + value is debit amount - value is credit amount
settlementFee	98	xsd:decimal [16.2]	O	SETTLEMENT FEE IN SETTLEMENT CURRENCY  + value is debit amount - value is credit amount
serviceCharge	99	xsd:decimal [16.2]	O	SERVICE CHARGE IN SETTLEMENT CURRENCY  + value is debit amount - value is credit amount
markUpMarkDownAmount	100	xsd:decimal [16.2]	O	MARKUP/MARKDOWN IN SETTLEMENT CURRENCY  + value is debit amount - value is credit amount
globalExchange	101	xsd:string [4]	O	GLOBAL EXCHANGE
numberOfDescriptionLines	102	xsd:integer [2]	O	NUMBER OF DESCRIPTION LINES
lastDescriptionline	103	xsd:integer [2]	O	LAST DESCRIPTION LINE
descriptionLine1	104	xsd:string [20]	O	DESCRIPTION LINE 1
descriptionLine2	105	xsd:string [20]	O	DESCRIPTION LINE 2
descriptionLine3	106	xsd:string [20]	O	DESCRIPTION LINE 3
descriptionLine4	107	xsd:string [20]	O	DESCRIPTION LINE 4
descriptionLine5	108	xsd:string [20]	O	DESCRIPTION LINE 5
descriptionLine6	109	xsd:string [20]	O	DESCRIPTION LINE 6
descriptionLine7	110	xsd:string [20]	O	DESCRIPTION LINE 7
descriptionLine8	111	xsd:string [20]	O	DESCRIPTION LINE 8
descriptionLine9	112	xsd:string [20]	O	DESCRIPTION LINE 9
descriptionLine10	113	xsd:string [20]	O	DESCRIPTION LINE 10
descriptionLine11	114	xsd:string [20]	O	DESCRIPTION LINE 11
descriptionLine12	115	xsd:string [20]	O	DESCRIPTION LINE 12
securityCurrencyIndicator	116	xsd:string [1]	O	Security/Currency Indicator Acceptable values include: S = Security C = Currency
mnemonicCode	117	xsd:string [4]	O	MARKET MNEMONIC CODE; populated for trade date trades only;
currencyOfIssurance	118	xsd:decimal [9.9]	O	CURRENCY OF ISSUANCE – USD CURRENCY FX RATE

Field	No.	XML:Type [Size]	R/O	Description
currencyOfIssuranceCode	119	xsd:string [1]	O	CURRENCY OF ISSUANCE – USD MULTIPLY/DIVIDE CODE Acceptable values include: M = Multiply D = Divide
alternateSecurityIdType	120	xsd:string [1]	O	ALTERNATE SECURITY ID TYPE (1): Acceptable values include: I = ISIN
alternateSecurityId	121	xsd:string [12]	O	ALTERNATE SECURITY ID

### 10.1.2 glbkkeepingDataService Response

## 11 GLBPOSITIONDATASERVICE MESSAGE

### 11.1 GLBPOSITIONDATASERVICE XML DEFINITION

#### 11.1.1 glbpositionDataService Request

##### 11.1.1.1 glbpositionSecurityAlert Request Section

Field	No.	XML:Type [Size]	R/O	Description
correspondentNumber	1	xsd:string [3]	O	Correspondent Number
dataTimestamp	2	xsd:dateTime	O	Data Timestamp
milliSecond	3	xsd:string [6]	O	
accountNumber	4	xsd:string [9]	O	ACCOUNT NUMBER
accountType	5	xsd:string [1]	O	acceptable values for TYPE include: "0" = Cash on Delivery "1" = Cash "2" = Margin "3" = Short "8" = Precious Metals "9" = Interest Adjustment
cusip	6	xsd:string [9]	O	CUSIP
underlyingCusip	7	xsd:string [9]	O	UNDERLYING CUSIP; may be blank
registeredRepNumber	8	xsd:string [3]	O	RR - INVESTMENT PROFESSIONAL
securityPositionIndicator	9	xsd:string [1]	O	CURRENCY/SECURITY POSITION INDICATOR; acceptable values include: "C" = Currency Position "S" = Security Position
issueCurrency	10	xsd:string [3]	O	ISSUE CURRENCY;
tradeDate	11	xsd:date	O	The date the TRADE DATE quantity was last updated
settlementDate	12	xsd:date	O	The date the SETTLEMENT DATE quantity was last updated
tradeDateQuantity	13	xsd:decimal [13.5]	O	TRADE DATE QUANTITY; number of shares traded, but not yet settled  "+ " = Long Position "- " = Short Position " " = Not Applicable
settlementDateQuantity	14	xsd:decimal [13.5]	O	SETTLEMENT DATE QUANTITY: The books and records position (for instance, the position shown on your clients brokerage statements); it reflects all securities that are received or delivered and all settled trades; it does not include pending trades  "+ " = Long Position "- " = Short Position " " = Not Applicable
segQuantity	15	xsd:decimal [13.5]	O	SEG QUANTITY (MEMO); the securities held in street name  "+ " = Long Position "- " = Short Position " " = Not Applicable
safekeepingQuantity	16	xsd:decimal [13.5]	O	SAFEKEEPING QUANTITY (MEMO); number of shares registered in the customer's name

Field	No.	XML:Type [Size]	R/O	Description
				"+" = Long Position "-" = Short Position " " = Not Applicable
transferQuantity	17	xsd:decimal [13.5]	O	TRANSFER QUANTITY (MEMO); number of shares in the process of being registered in the customer's name  "+" = Long Position "-" = Short Position
pendingTransferQuantity	18	xsd:decimal [13.5]	O	PENDING TRANSFER QUANTITY; the number of shares currently pending the transfer process  "+" = Long Position "-" = Short Position " " = Not Applicable
legalTransferQuantity	19	xsd:decimal [13.5]	O	LEGAL TRANSFER QUANTITY; the number of shares awaiting clearance at the transfer agent  "+" = Long Position "-" = Short Position " " = Not Applicable
tenderedQuantity	20	xsd:decimal [13.5]	O	TENDERED (REORG) QUANTITY (MEMO); number of shares submitted with instructions to participate in a corporate reorganization (e.g., exchange, tender, redemption, etc.)  "+" = Long Position "-" = Short Position " " = Not Applicable
pendingPapers	21	xsd:decimal [13.5]	O	PENDING PAPERS (MEMO); number of shares pending the receipt of documents to make them negotiable  "+" = Long Position "-" = Short Position " " = Not Applicable
boxQuantity	22	xsd:decimal [13.5]	O	SHORT AGAINST THE BOX QUANTITY; acceptable values include: "+" = Long Position "-" = Short Position " " = Not Applicable
networkedQuantity	23	xsd:decimal [13.5]	O	NETWORKED QUANTITY;  "+" = Long Position "-" = Short Position " " = Not Applicable
pendingSplitQuantity	24	xsd:decimal [13.5]	O	PENDING SPLIT QUANTITY (MEMO); quantity of the security that is subject to a pending stock distribution  "+" = Long Position "-" = Short Position " " = Not Applicable

Field	No.	XML:Type [Size]	R/O	Description
coveredQuantity	25	xsd:decimal [13.5]	O	QUANTITY COVERING OPTIONS or COVERED QUANTITY;  "+ " = Long Position "- " = Short Position " " = Not Applicable
boughtQuantity	26	xsd:decimal [13.5]	O	TRADE DATE QUANTITY BOUGHT;  "+ " = Long Position "- " = Short Position " " = Not Applicable
soldQuantity	27	xsd:decimal [13.5]	O	TRADE DATE QUANTITY SOLD;  "+ " = Long Position "- " = Short Position " " = Not Applicable
fedRequirement	28	xsd:decimal [16.2]	O	FED (REG T) REQUIREMENT  "+ " = Positive Amount "- " = Negative Amount " " = Not Applicable
marginRequirement	29	xsd:decimal [16.2]	O	HOUSE (PERSHING) MARGIN REQUIREMENT;  "+ " = Positive Amount "- " = Negative Amount " " = Not Applicable
exchangeRequirement	30	xsd:decimal [16.2]	O	EXCHANGE (NYSE) REQUIREMENT;  "+ " = Positive Amount "- " = Negative Amount " " = Not Applicable
equityRequirement	31	xsd:decimal [16.2]	O	EQUITY REQUIREMENT;  "+ " = Positive Amount "- " = Negative Amount " " = Not Applicable
securitySymbol	32	xsd:string [9]	O	SECURITY SYMBOL
securityType	33	xsd:string [1]	O	SECURITY TYPE  Refer to appendix_B Security Code Matrix.pdf
securityMod	34	xsd:string [1]	O	SECURITY MOD  Refer to appendix_B Security Code Matrix.pdf
securityCalc	35	xsd:string [1]	O	SECURITY CALC  Refer to appendix_B Security Code Matrix.pdf
productCode	36	xsd:string [3]	O	MINOR PRODUCT CODE



Field	No.	XML:Type [Size]	R/O	Description
				Refer to appendix_B Security Code Matrix.pdf
networkEligibilityIndicator	37	xsd:string [1]	O	NETWORK ELIGIBILITY INDICATOR
strikePrice	38	xsd:decimal [9.9]	O	STRIKE PRICE;  "+ " = Positive Amount "- " = Negative Amount " " = Not Applicable
expirationDate	39	xsd:date	O	EXPIRATION/MATURITY DATE
contractSize	40	xsd:decimal [13.5]	O	CONTRACT SIZE
conversionRatio	41	xsd:decimal [9.9]	O	CONVERSION RATIO
accountShortName	42	xsd:string [10]	O	ACCOUNT SHORT NAME
stateCode	43	xsd:string [3]	O	STATE CODE
countryCode	44	xsd:string [3]	O	COUNTRY CODE
numberOfDescriptionLines	45	xsd:integer [4]	O	NUMBER OF DESCRIPTION LINES
line1	46	xsd:string [20]	O	
line2	47	xsd:string [20]	O	
line3	48	xsd:string [20]	O	
line4	49	xsd:string [20]	O	
line5	50	xsd:string [20]	O	
line6	51	xsd:string [20]	O	
dividendOption	52	xsd:string [1]	O	DIVIDEND OPTION; acceptable values include: "C" = Cash "R" = Reinvest " " = Not Applicable
longTermcapitalGainsOption	53	xsd:string [1]	O	LONG TERM CAPITAL GAINS OPTION (MF only);  acceptable values include: "C" = Cash "R" = Reinvest " " = Not Applicable
shortTermcapitalGainsOption	54	xsd:string [1]	O	SHORT TERM CAPITAL GAINS OPTION; acceptable values include: "C" = Cash "R" = Reinvest " " = Not Applicable
firmTradingIndicator	55	xsd:string [1]	O	FIRM TRADING INDICATOR
positionCurrency	56	xsd:string [3]	O	POSITION CURRENCY
tradeDateLiquidatingValue	57	xsd:decimal [15.3]	O	TRADE DATE LIQUIDATING VALUE;  "+ " = Long Market Value "- " = Short Market Value " " = Not Applicable
poolFactor	58	xsd:decimal [2.8]	O	POOL FACTOR;  "+ " = Positive Amount "- " = Negative Amount

Field	No.	XML:Type [Size]	R/O	Description
				" " = Not Applicable
exchangeRate	59	xsd:decimal [8.10]	O	EXCHANGE RATE;  "+ " = Positive Amount "- " = Negative Amount " " = Not Applicable
settlementDateLiquidatingValue	60	xsd:decimal [15.3]	O	SETTLEMENT DATE LIQUIDATING VALUE;  "+ " = Long Market Value "- " = Short Market Value " " = Not Applicable
alternateSecurityIdType	61	xsd:string [1]	O	ALTERNATE SECURITY ID TYPE, acceptable values include: "I" = ISIN
alternateSecurityId	62	xsd:string [12]	O	ALTERNATE SECURITY ID
fullyPaidLendingquantity	63	xsd:decimal [13.5]	O	FULLY PAID LENDING QUANTITY;  "+ " = Long Position "- " = Short Position
fplQuantityCollateralAmount	64	xsd:decimal [15.3]	O	FULLY PAID LENDING QUANTITY COLLATERAL AMOUNT;  "+ " = Positive Amount "- " = Negative Amount
optionRootId	65	xsd:string [6]	O	OPTION ROOT ID
optionExpirationDate	66	xsd:date	O	EXPIRATION DATE
optionPutCallIndicator	67	xsd:string [1]	O	CALL/PUT Indicator, acceptable values include: "B" = Bank Pledge (Call) "C" = Call "D" = Bank Pledge (Put) "E" = Escrow Receipt "L" = Letter of Credit (Call) "M" = Letter of Credit (Put) "P" = Put
optionStrikePrice	68	xsd:decimal [5.3]	O	STRIKE PRICE
pledgeQuantity	69	xsd:decimal [13.5]	O	

## 12 GLBTRADEDATASERVICE MESSAGE

### 12.1 GLBTRADEDATASERVICE XML DEFINITION

#### 12.1.1 glbTradeDataService Request

##### 12.1.1.1 glbtradeDataAlert Request Section

Field	No.	XML:Type [Size]	R/O	Description
correspondentNumber	1	xsd:string [3]	O	Correspondent Number
dataTimestamp	2	xsd:dateTime	O	Data Timestamp
milliSecond	3	xsd:string [6]	O	
accountNumber	4	xsd:string [9]	O	Account Number
accountType	5	xsd:string [1]	O	acceptable values for TYPE include: "0" = COD "1" = Cash "2" = Margin "3" = Short "4" = Special Subs "5" = Arbitrage "8" = Precious Metal "9" = Income
orderReferenceNumber	6	xsd:string [20]	O	PERSHING INTERNAL ORDER REFERENCE NUMBER
tradeReferenceNumber	7	xsd:string [20]	O	PERSHING INTERNAL TRADE REFERENCE NUMBER
version	8	xsd:integer [4]	O	PERSHING INTERNAL VERSION
ibdId	9	xsd:string [20]	O	INTRODUCING BROKER/DEALER (IBD) ID
orderId	10	xsd:string [20]	O	UNIQUE ORDER ID
allocationBlockId	11	xsd:string [20]	O	ALLOCATION BLOCK ID
externalReferenceNumber	12	xsd:string [20]	O	EXTERNAL REFERENCE NUMBER
blockTradeId	13	xsd:string [20]	O	BLOCK TRADE ID; used for FX trades
psReferenceNumber	14	xsd:string [6]	O	P&S REFERENCE NUMBER
tradeDate	15	xsd:date	O	TRADE DATE
executionTime	16	xsd:time	O	EXECUTION TIME, when available
settlementDate	17	xsd:date	O	SETTLEMENT DATE
processDate	18	xsd:date	O	PROCESS DATE
buySellCode	19	xsd:string [1]	O	BUY/SELL CODE; acceptable values include: "B" = Buy "S" = Sell
cusip	20	xsd:string [9]	O	CUSIP NUMBER
securityIdentifierType	21	xsd:string [1]	O	INTERNATIONAL SECURITY IDENTIFIER TYPE; acceptable values include: "C" = CUSIP "S" = Symbol "I" = ISIN "E" = SEDOL "R" = Reuters Identification Code
securityIdentifier	22	xsd:string [12]	O	INTERNATIONAL SECURITY IDENTIFIER AS ENTERED ON TRANSACTION
securitySymbol	23	xsd:string [9]	O	SECURITY SYMBOL
orderQuantity	24	xsd:decimal [13.5]	O	ORDER QUANTITY "+" = Positive Quantity "- " = Negative Quantity

Field	No.	XML:Type [Size]	R/O	Description
				blank = Not Available or Zeroes
pricingGroupQuantity	25	xsd:integer [9]	O	PRICING GROUP QUANTITY; total quantity used for grouping trades (same Account, Security Identifier, side) for pricing purposes
marketCode	26	xsd:string [16]	O	MARKET CODE; acceptable values include: "1" = New York Stock Exchange® (NYSE) "2" = NYSE ALT (formerly AMEX) "3" = Philadelphia (PHLX) "4" = Over the Counter (OTC) "5" = Boston (BSE) "6" = Chicago Exchange (CHX) "7" = Chicago Board Options Exchange (CBOE) "8" = Over the Counter/National Clearing Corporation (OTC/NCC) "8"+ BLOT "1"+ CONTRA = "9600" NSX Exchange Agency *CONTRA refers to CONTRA broker "9" = Pacific (PSE) "6"+ BLOT "2"=Exercised and Assigned Index Options "7"+ BLOT "1" = Exercised and Assigned Equity Options *BLOT refers to Blotter Codes position 342
marketMnemonicCode	27	xsd:string [4]	O	MARKET MNEMONIC CODE; see Appendix S, "GTDE Codes," for values
blotterCode	28	xsd:string [1]	O	BLOTTER CODE; acceptable values include: "0" = Average Price "1" = Customer vs. the Street "2" = Option "3" = Agency, but used for Cash, Special Settlement Next Day Trades "5" = Principal Cross Trade "6" = Syndicate Cross Trade "8" = Principal Cross Trade/Over the Counter "9" = Agency Cross Trade
settlementLocationCode	29	xsd:string [4]	O	SETTLEMENT LOCATION CODE
counterParty	30	xsd:string [4]	O	COUNTER PARTY (CLIENT)
cancelCode	31	xsd:string [1]	O	CANCEL CODE; acceptable values include: "1" = Cancel blank = Not Applicable
correctionCode	32	xsd:string [1]	O	CORRECTION CODE; acceptable values include: "1" = Correction "5" = Post Settlement Cancel (there must be a "1" in Cancel when "5" is used) blank = Not Applicable
openCloseIndicator	33	xsd:string [1]	O	OPEN/CLOSE INDICATOR FOR OPTIONS; acceptable values include: "O" = Open "C" = Close blank = Not Applicable
orderType	34	xsd:string [1]	O	TYPE OF ORDER; acceptable values include: "M" = Market "L" = Limit "D" = DOT (DOT indicates via the computer system of the

Field	No.	XML:Type [Size]	R/O	Description
				NYSE) "P" = PER (PER indicates via the computer system of the American Stock Exchange) "Z" = Derived (omnibus account, market, product) Note: Type of Order field is blank for the following types of transactions: - Cancels - Corrections - When-Issued (Security Type = "4") - International Transaction (Batch Code = "*GLOS" or "INT01") - When Average Price Blotter Code (Blotter = "0") Under these circumstances, Type of Order does not apply, or was not passed from the previous transaction
solicitedIndicator	35	xsd:string [1]	O	This field applies to equity orders only. Acceptable values include:  "U" = Unsolicited "S" = "Solicited" blank = Not Provided
userId	36	xsd:string [8]	O	USER ID OF PERSON WHO ENTERED THE ORDER, when available
sourceOfInput	37	xsd:string [1]	O	SOURCE OF INPUT, see Appendix "P"
orderTerminalId	38	xsd:string [8]	O	ORDER TERMINAL ID
orderSequenceNumber	39	xsd:integer [5]	O	ORDER SEQUENCE NUMBER
capacityCode	40	xsd:string [1]	O	CAPACITY CODE; method by which trade was executed. See appendix "S"
risklessPrincipalIndicator	41	xsd:string [1]	O	RISKLESS PRINCIPAL INDICATOR; acceptable values include: "R" = Riskless Principal Trade blank = Not a Riskless Principal Trade
shortTrade	42	xsd:string [1]	O	SHORT TRADE; acceptable values include: "X" = Short-and-Exempt "S" = Short-and-Non-Exempt blank = Not Applicable
syndicateIndicator	43	xsd:string [1]	O	SYNDICATE INDICATOR; acceptable values include: "Y" = Syndicate Trade "N" or " " = Non-syndicate Trade
oddLotCode	44	xsd:string [1]	O	ODD LOT CODE (identifies an odd-lot trade); acceptable values include: "Y" = Odd-Lot trade "N" or blank = Not an Odd-Lot Trade
mutualFundValues	45	xsd:string [1]	O	MUTUAL FUND VALUES; note abbreviations as follows: NTF = No Transaction Fee SRS = Systematic Reinvestment System; acceptable mutual fund values include: Blank = Load or No Load, Networked or non-Networked Trade, or Not Applicable if not a Mutual Fund "A" = Load, FundServ, Networked Exchange; if the security is an equity, this field is used to suppress automated trade submission to SIAC. If a trade was executed on either the AMEX® or the NYSE and was executed through DOT, or it is an OTC trade and the security is ACT- eligible, an "A"

Field	No.	XML:Type [Size]	R/O	Description
				<p>must be present in this field. Automated trades are automatically submitted to SIAC upon execution. This indicator prevents duplicate street-side submission</p> <p>"B" = Load, FundServ, non-Networked Exchange</p> <p>"C" = Load, FundServ, Networked Trade</p> <p>"D" = Load, FundServ, non-Networked Trade</p> <p>"E" = Load or No-Load, non-FundServ, Networked or non- Networked Exchange</p> <p>"F" = Load, non-FundServ Surcharge</p> <p>"G" = No-Load, FundServ, Networked Exchange</p> <p>"H" = No-Load, FundServ, non-Networked Exchange</p> <p>"I" = No-Load, FundServ, Networked Trade</p> <p>"J" = No-Load, FundServ, non-Networked Trade</p> <p>"K" = NTF, Load or No-Load, FundServ or non-FundServ, Networked or non-Networked Trade</p> <p>"L" = NTF, Below Minimum Load or No-Load, FundServ, or non-FundServ, Networked or non-Networked Trade</p> <p>"M" = NTF, Short Term Redemption Load or No-Load, FundServ or non-FundServ, Networked or non- Networked Trade</p> <p>"N" = NTF, SRS Load or No-Load, FundServ or non- FundServ, Networked or non-Networked Trade</p> <p>"O" = NTF, SRS Load or No-Load, FundServ or non- FundServ, Networked or non-Networked Exchange</p> <p>"P" = NTF, SRS Below Minimum Load or No-Load, FundServ or non-FundServ, Networked or non-Networked Trade</p> <p>"Q" = NTF, SRS Short Term Redemption Load or No-Load, FundServ or non-FundServ, Networked or non- Networked Trade</p> <p>"R" = SRS Reinvestment Trade</p> <p>"S" = SRS Trade</p> <p>"T" = SRS Exchange</p> <p>"U" = NTF, SRS Short Term Redemption Load or No-Load, FundServ or non-FundServ, Networked or non- Networked Exchange</p> <p>"V" = Special Price 1 Trade</p> <p>"W" = Special Price 1 Exchange</p> <p>"X" = Special Price 1 SRS Trade</p> <p>"Y" = Special Price 1 SRS Exchange</p> <p>"Z" = No-Load, FundServ, non-Exchange, non-SRS, non-NTF trade for eligible surcharge fund</p> <p>"0" = No-Load, non-FundServ, non-Exchange, non-SRS, non- NTF trade for eligible surcharge fund</p> <p>"1" = Special Price 2 Trade</p> <p>"2" = Special Price 2 Exchange</p> <p>"3" = Special Price 2 SRS Trade</p> <p>"4" = Special Price 2 SRS Exchange</p> <p>"5" = Special Price 3 Trade</p> <p>"6" = Special Price 3 Exchange</p> <p>"7" = Special Price 3 SRS Trade</p> <p>"8" = Special Price 3 SRS Exchange</p> <p>"9" = Load, FundServ Surcharge</p>
spreadStraddleIndicator	46	xsd:string [1]	O	SPREAD/STRADDLE INDICATOR (for options only); acceptable values include:

Field	No.	XML:Type [Size]	R/O	Description
				"S" = Spread "T" = Straddle blank = Not Applicable
batchCode	47	xsd:string [5]	O	BATCH CODE
IMCode	48	xsd:string [8]	O	INVESTMENT MANAGER CODE
offsetAccount	49	xsd:string [10]	O	OFFSET ACCOUNT; street-side account
executingBroker	50	xsd:string [4]	O	EXECUTING BROKER
majorBrokerageBadgeNumber	51	xsd:string [4]	O	MAJOR BROKERAGE BADGE NUMBER
contraBroker	52	xsd:string [4]	O	CONTRA BROKER; broker-dealer, market maker, broker acting as an agent, or dealer acting as principal offset account (street-side account)
minorBrokerageBadgeNumber	53	xsd:string [4]	O	MINOR BROKERAGE BADGE NUMBER
traderInitials	54	xsd:string [3]	O	TRADER INITIALS
stepInStepOutIndicator	55	xsd:string [1]	O	STEP IN/STEP OUT INDICATOR; acceptable values include: "I" = Step In "O" = Step Out blank = Not Applicable
executionTerminal	56	xsd:string [2]	O	EXECUTION TERMINAL
executionSequenceNumber	57	xsd:integer [5]	O	EXECUTION SEQUENCE NUMBER
primeBrokerIndicator	58	xsd:string [1]	O	PRIME BROKER INDICATOR; acceptable values include: "P" = Prime Broker "Q" = Prime Broker; COD Account blank = Not Applicable
countryOfCitizenship	59	xsd:string [3]	O	COUNTRY OF CITIZENSHIP; see Appendix G, "State and Country Codes"
countryOrStateOfResidence	60	xsd:string [3]	O	COUNTRY/STATE OF RESIDENCE
withholdingIndicator	61	xsd:string [1]	O	WITHHOLDING CODE/TAX EXEMPT INDICATOR; acceptable values include: "0" = No Adoption Agreement "1" = Adoption Agreement blank = Non-custodian
baseCurrency	62	xsd:string [3]	O	BASE CURRENCY. See Appendix "N"
baseCurrencyExchangeRate	63	xsd:decimal [9.9]	O	BASE CURRENCY EXCHANGE RATE
baseCurrencyCode	64	xsd:string [1]	O	BASE CURRENCY MULTIPLY/DIVIDE CODE; acceptable values include: "M" = Multiply "D" = Divide
primaryExecutionIP	65	xsd:string [3]	O	PRIMARY EXECUTION INVESTMENT PROFESSIONAL
IP2Override	66	xsd:string [3]	O	INVESTMENT PROFESSIONAL 2 OVERRIDE
IP2Percentage	67	xsd:decimal [9.9]	O	INVESTMENT PROFESSIONAL 2 PERCENTAGE
IP3Override	68	xsd:string [3]	O	INVESTMENT PROFESSIONAL 3 OVERRIDE
IP3Percentage	69	xsd:decimal [9.9]	O	INVESTMENT PROFESSIONAL 3 PERCENTAGE
securityTypeCode	70	xsd:string [1]	O	SECURITY TYPE CODE. See Appendix "B"
securityModifierCode	71	xsd:string [1]	O	SECURITY MODIFIER CODE. See Appendix "B"
securityCalculationCode	72	xsd:string [1]	O	SECURITY CALCULATION CODE. See Appendix "B"
minorProductCode	73	xsd:string [3]	O	MINOR PRODUCT CODE. See Appendix "B"
assetType	74	xsd:string [8]	O	ASSET TYPE. See Appendix "B"

Field	No.	XML:Type [Size]	R/O	Description
assetSubtype	75	xsd:string [8]	O	ASSET SUBTYPE. See Appendix "B"
assetSubSubType	76	xsd:string [8]	O	ASSET SUB SUB TYPE. See Appendix B
internationalExchangeCode	77	xsd:string [4]	O	INTERNATIONAL EXCHANGE CODE. See Appendix "S"
underlyingCusip	78	xsd:string [9]	O	UNDERLYING CUSIP
optionStrikePrice	79	xsd:decimal [9.9]	O	STRIKE PRICE; the price at which an option can be exercised
poolFactor	80	xsd:decimal [3.12]	O	POOL FACTOR
nonUSSecurityIndicator	81	xsd:string [1]	O	NON-US SECURITY INDICATOR; acceptable values include: "1" = Non-US Security "2" = ADR/Canadian blank = US Security
cnsEligibility	82	xsd:string [1]	O	CONTINUOUS NET SETTLEMENT (CNS) ELIGIBILITY; acceptable values include: "1" = CNS Eligible blank = Not CNS Eligible
dtcEligibility	83	xsd:string [1]	O	DEPOSITORY TRUST COMPANY (DTC) ELIGIBILITY; identifies where physical records of a firm are stored; acceptable values include: "1" = DTC Eligible blank = Not DTC Eligible
exDividendDate	84	xsd:date	O	EX-DIVIDEND DATE
recordDate	85	xsd:date	O	RECORD DATE
numberOfDescriptionLines	86	xsd:integer [2]	O	NUMBER OF DESCRIPTION LINES
descriptionLine1	87	xsd:string [20]	O	DESCRIPTION LINE 1
descriptionLine2	88	xsd:string [20]	O	DESCRIPTION LINE 2
descriptionLine3	89	xsd:string [20]	O	DESCRIPTION LINE 3
descriptionLine4	90	xsd:string [20]	O	DESCRIPTION LINE 4
descriptionLine5	91	xsd:string [20]	O	DESCRIPTION LINE 5
descriptionLine6	92	xsd:string [20]	O	DESCRIPTION LINE 6
legendCode1	93	xsd:string [1]	O	LEGEND CODE 1. see Appendix K
legendCode2	94	xsd:string [1]	O	LEGEND CODE 2
legendCodeOne	95	xsd:string [2]	O	LEGEND CODE ONE. See Appendix K
legendCodeTwo	96	xsd:string [2]	O	LEGEND CODE TWO. See Appendix K
legendCodeThree	97	xsd:string [2]	O	LEGEND CODE THREE. See Appendix K
legendCodeFour	98	xsd:string [2]	O	LEGEND CODE FOUR. See Appendix K
legendCodeFive	99	xsd:string [2]	O	LEGEND CODE FIVE. See Appendix K
legendCodeSix	100	xsd:string [2]	O	LEGEND CODE SIX. See Appendix K
trailerLineOne	101	xsd:string [20]	O	TRAILER LINE ONE
trailerLineTwo	102	xsd:string [20]	O	TRAILER LINE TWO
trailerLineThree	103	xsd:string [20]	O	TRAILER LINE THREE
trailerLineFour	104	xsd:string [20]	O	TRAILER LINE FOUR
trailerLineFive	105	xsd:string [20]	O	TRAILER LINE FIVE
trailerLineSix	106	xsd:string [20]	O	TRAILER LINE SIX
trailerLineSeven	107	xsd:string [20]	O	TRAILER LINE SEVEN
trailerLineEight	108	xsd:string [20]	O	TRAILER LINE EIGHT
trailerLineNine	109	xsd:string [20]	O	TRAILER LINE NINE
mipsCommentRulesEngine	110	xsd:string [7]	O	MIPS COMMENT; reserved for Rules Engine message; will display "RE-APRV" if systematically approved
mipsCommentNetXPro	111	xsd:string [16]	O	MIPS COMMENT; free-formatted information that was entered in the



Field	No.	XML:Type [Size]	R/O	Description
				NetExchange Pro
initialFundsPurchaseIndicator	112	xsd:string [1]	O	SOURCE OF INITIAL FUNDS PURCHASE INDICATOR; acceptable values include: "0" = Not Initial Purchase "1" = Initial Purchase "2" = Not Initial Purchase – Share Class Not Reviewed "3" = Initial Purchase – Share Class Not Reviewed "4" = Not Initial Purchase – Share Class Reviewed "5" = Initial Purchase – Share Class Reviewed "6" = Share Class Reviewed "7" = Share Class No Reviewed
sourceOfFunds	113	xsd:string [1]	O	SOURCE OF FUNDS; acceptable values include: "2" = Account Credit Balance/Money Market "3" = MF/UIT Redemption "4" = Annuity Redemption "5" = New Monies "6" = Other Advisory Account "7" = Rollover/Qualified Account "8" = Securities Liquidation
mipsComment	114	xsd:string [20]	O	MIPS COMMENT
optionRootId	115	xsd:string [6]	O	OPTION ROOT ID
expirationDate	116	xsd:date	O	EXPIRATION DATE
callPutIndicator	117	xsd:string [1]	O	CALL/PUT Indicator, acceptable values include: "B" = Bank Pledge (Call) "C" = Call "D" = Bank Pledge (Put) "E" = Escrow Receipt "L" = Letter of Credit (Call) "M" = Letter of Credit (Put) "P" = Put
strikePrice	118	xsd:decimal [5.3]	O	STRIKE PRICE
<b>tradeAmountsAndFees</b>	<b>119</b>	<b>group occurs 1</b>	<b>O</b>	
quantity	120	xsd:decimal [13.5]	O	QUANTITY acceptable values include: "+" = Positive Quantity "-" = Negative Quantity blank = Not Applicable or Zeroes
price	121	xsd:decimal [9.9]	O	PRICE
tradeCurrency	122	xsd:string [3]	O	TRADE CURRENCY. See Appendix N
basisPriceIndicator	123	xsd:string [1]	O	BASIS PRICE INDICATOR; indicates how the price was entered; acceptable values include: blank = Dollar Price "1" = Yield "D" = Discount "2" = Mutual Fund
yield	124	xsd:decimal [8.9]	O	YIELD; acceptable values include: "+" = Positive Yield "-" = Negative Yield

Field	No.	XML:Type [Size]	R/O	Description
				blank = Not Applicable
yieldToWorst	125	xsd:decimal [8.9]	O	YIELD TO WORST; acceptable values include: "+ " = Positive Yield to Worst "- " = Negative Yield to Worst blank = Not Applicable
yieldToWorstCode	126	xsd:string [2]	O	YIELD TO WORST CODE; acceptable values include: "M" = Yield to Maturity "O" = Yield to Par "C" = Yield to Call "P" = Yield to Put "R" = Yield to Pre-refunded blank = Not Applicable
pershingCharge	127	xsd:decimal [16.2]	O	PERSHING CHARGE; contractual fee for services rendered based upon the type of relationship with Pershing "+ " = Amount Charged "- " = Amount Credited blank = Not Applicable or Zeroes
transactionFee	128	xsd:decimal [16.2]	O	TRANSACTION FEE "+ " = Amount Charged "- " = Amount Credited blank = Not Applicable or Zeroes
redebateAmount	129	xsd:decimal [16.2]	O	REBATE AMOUNT; amount rebated to your firm "+ " = Amount Debited "- " = Amount Credited blank = Not Applicable or Zeroes
netAmount	130	xsd:decimal [16.2]	O	NET AMOUNT; principal, plus/minus interest, plus/minus fees. Note: This amount is in settlement currency. "+ " = Amount Debited "- " = Amount Credited blank = Not Applicable or Zeroes
settlementCurrency	131	xsd:string [3]	O	SETTLEMENT CURRENCY
settlementCurrencyExchangeRate	132	xsd:decimal [9.9]	O	SETTLEMENT CURRENCY EXCHANGE RATE
settlementCurrencyCode	133	xsd:string [1]	O	SETTLEMENT CURRENCY MULTIPLY/DIVIDE CODE; acceptable values include: "M" = Multiply "D" = Divide
interest	134	xsd:decimal [13.5]	O	INTEREST "+ " = Amount Charged "- " = Amount Credited blank = Not Applicable or Zeroes
serviceCharge	135	xsd:decimal [16.2]	O	SERVICE CHARGE FOR IBD "+ " = Amount Debited "- " = Amount Credited blank = Not Applicable or Zeroes
postage	136	xsd:decimal [16.2]	O	POSTAGE (sometimes referred to as CONFIRM FEE) "+ " = Amount Debited "- " = Amount Credited

Field	No.	XML:Type [Size]	R/O	Description
				blank = Not Applicable or Zeroes
commissionCreditType	137	xsd:string [1]	O	COMMISSION/SALES CREDIT TYPE; values include: "1" = Sales Credit Rate "6" = Sales Credit Flat Amount "2" = Commission by Discount "3" = Commission by Rate "4" or "A" = Commission by Amount "5" = Zero Commission
commission	138	xsd:decimal [16.2]	O	COMMISSION; "+" = Amount Debited (same for Buy or Sell) "- " = Amount Credited (same for Buy or Sell) blank = Not Applicable or Zeroes
commissionPercentDiscount	139	xsd:decimal [3.4]	O	COMMISSION PERCENT DISCOUNT
salesCredit	140	xsd:decimal [16.2]	O	SALES CREDIT; "+" = Amount Debited "- " = Amount Credited blank = Not Applicable or Zeroes
cdsc	141	xsd:decimal [16.2]	O	CUSTOMER DEFERRED SALES CHARGE (CDSC) "+" = Positive "- " = Negative blank = Not Applicable or Zeroes
baseCommission	142	xsd:decimal [16.2]	O	BASE COMMISSION (This is what the commission would be without any discounts applied.) "+" = Amount Debited (same for Buy or Sell) "- " = Amount Credited (same for Buy or Sell) blank = Not Applicable or Zeroes
markUpMarkDown	143	xsd:decimal [16.2]	O	MARK UP/MARK DOWN; "+" = Mark Down Amount "- " = Mark Up Amount blank = Not Applicable or Zeroes
principal	144	xsd:decimal [16.2]	O	PRINCIPAL; "+" = Amount Debited "- " = Amount Credited blank = Not Applicable or Zeroes
executionCharge	145	xsd:decimal [16.2]	O	EXECUTION CHARGE; "+" = Amount Debited "- " = Amount Credited blank = Not Applicable or Zeroes
executionOnlyIndicator	146	xsd:string [1]	O	EXECUTION ONLY INDICATOR; values include: "Y" = Execution Only blank = Not Applicable
settlementFee	147	xsd:decimal [16.2]	O	SETTLEMENT FEE – CUSTOMER (Clearance Charge) "+" = Amount Debited "- " = Amount Credited blank = Not Applicable or Zeroes
clearanceOnlyIndicator	148	xsd:string [1]	O	CLEARANCE ONLY INDICATOR; values include: "Y" = Clearance Only

Field	No.	XML:Type [Size]	R/O	Description
				blank = Not Applicable
foreignRecieveDeliverCharge	149	xsd:decimal [16.2]	O	FOREIGN RECEIVE/DELIVER CHARGE; "+ " = Amount Debited "- " = Amount Credited blank = Not Applicable or Zeroes
ntfRedemptionfee	150	xsd:decimal [16.2]	O	NTF REDEMPTION FEE; includes base redemption fee for NTF eligible trades and add-on fee "+ " = Amount Debited "- " = Amount Credited blank = Not Applicable or Zeroes
ntfRedemptionAddOnFee	151	xsd:decimal [16.2]	O	NTF REDEMPTION ADD-ON FEE; "+ " = Amount Debited "- " = Amount Credited blank = Not Applicable or Zeroes
mutualFundExchangeFee	152	xsd:decimal [16.2]	O	MUTUAL FUND EXCHANGE FEE; "+ " = Amount Debited "- " = Amount Credited blank = Not Applicable or Zeroes
srsFundExchangeFee	153	xsd:decimal [16.2]	O	SRS FUND EXCHANGE FEE; "+ " = Amount Debited "- " = Amount Credited blank = Not Applicable or Zeroes
handlingFee	154	xsd:decimal [16.2]	O	HANDLING FEE; "+ " = Amount Debited "- " = Amount Credited blank = Not Applicable or Zeroes
stampDuty	155	xsd:decimal [16.2]	O	STAMP DUTY; "+ " = Amount Debited "- " = Amount Credited blank = Not Applicable or Zeroes
primeBrokerFee	156	xsd:decimal [16.2]	O	PRIME BROKER FEE; "+ " = Amount Debited "- " = Amount Credited blank = Not Applicable or Zeroes
ibdMiscellaneousChargeLabel	157	xsd:string [20]	O	IBD MISCELLANEOUS CHARGE LABEL
ibdMiscellaneousCharge	158	xsd:decimal [16.2]	O	IBD MISCELLANEOUS CHARGE; "+ " = Amount Debited "- " = Amount Credited blank = Not Applicable or Zeroes
streetsideMiscellaneousChargeLabel	159	xsd:string [20]	O	STREETSIDE MISCELLANEOUS CHARGE LABEL
streetsideMiscellaneousCharge	160	xsd:decimal [16.2]	O	STREETSIDE MISCELLANEOUS CHARGE; "+ " = Amount Debited "- " = Amount Credited blank = Not Applicable or Zeroes
transactionLevy	161	xsd:decimal [16.2]	O	TRANSACTION LEVY; "+ " = Amount Debited

Field	No.	XML:Type [Size]	R/O	Description
				"-" = Amount Credited blank = Not Applicable or Zeroes
transferStampFee	162	xsd:decimal [16.2]	O	TRANSFER STAMP FEE; "+" = Amount Debited "- " = Amount Credited blank = Not Applicable or Zeroes
transferTax	163	xsd:decimal [16.2]	O	TRANSFER TAX; "+" = Amount Debited "- " = Amount Credited blank = Not Applicable or Zeroes
customerConfirmFee	164	xsd:decimal [16.2]	O	CUSTOMER CONFIRM FEE; "+" = Amount Debited "- " = Amount Credited blank = Not Applicable or Zeroes
ibdConfirmFee	165	xsd:decimal [16.2]	O	IBD CONFIRM FEE; "+" = Amount Debited "- " = Amount Credited blank = Not Applicable or Zeroes
valueAddedTax	166	xsd:decimal [16.2]	O	VALUE ADDED TAX; "+" = Amount Debited "- " = Amount Credited blank = Not Applicable or Zeroes
reportedPrice	167	xsd:decimal [9.9]	O	REPORTED PRICE
additionalTrailerLineOne	168	xsd:string [20]	O	ADDITIONAL TRAILER LINE ONE
additionalTrailerLineTwo	169	xsd:string [20]	O	ADDITIONAL TRAILER LINE TWO
additionalTrailerLineThree	170	xsd:string [20]	O	ADDITIONAL TRAILER LINE THREE
additionalTrailerLineFour	171	xsd:string [20]	O	ADDITIONAL TRAILER LINE FOUR
additionalTrailerLineFive	172	xsd:string [20]	O	ADDITIONAL TRAILER LINE FIVE
additionalTrailerLineSix	173	xsd:string [20]	O	ADDITIONAL TRAILER LINE SIX
freeformLotInformation1	174	xsd:string [20]	O	FREEFORM LOT INFORMATION (1)
freeformLotInformation2	175	xsd:string [20]	O	FREEFORM LOT INFORMATION (2)
freeformLotInformation3	176	xsd:string [20]	O	FREEFORM LOT INFORMATION (3)