

**Equity Trade Journal Clearing Firm Download** (CSV and TXT) details all a Market Participants ACT reported trades for the date requested.

Equity Trade Journal Download and Equity Trade Journal CSV Data Fields and Definitions		
Data Field	Display Length	Definition
Issue	14	Symbol of the issue. Symbols are typically 1-5 root characters and then 1-3 suffix characters.
MPID	4	Reporting Executing Party entering 4 characters EPID.  This field corresponds to the "Executing Party" field in the Trade Entry and Trade Scan screens in the ACT Workstation.  <b>This field may display NSDQ. Orders executed anonymously for NASDAQ-listed securities will be represented by the MPID "NSDQ". See <a href="#">Secure Data News#2006-16</a> for more information. Also, orders where the firm requesting the report was not the liquidity provider will also show NSDQ.</b>
Cap	1	Report Capacity  Due to its proprietary nature, this field will be masked for the firm not requesting the report. Only a requesting firm's Report Capacity value will be displayed.  <b>Allowed Values:</b> A = Agent I = Intra-Broker (Nasdaq exchange only) P = Principal R = Riskless Principal Blank = Proprietary Data
RptDate	6	Trade Report Date  MM/DD/YYYY
RptTime	15	Trade Report Time  HH:MM:SS.mmmmmmmmm  This is an optional field unless the trade is being reported more than 10 seconds after the trade is executed.
ExeTime	15	Trade Execution Time  HH:MM:SS.mmmmmmmmm
RptEXID	4	Executing ID (EPID) of Reporting Party = EPID Give-up.

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		<p>This field corresponds to the "Executing Party" field in the Trade Entry and Trade Scan screens in the ACT Workstation.</p> <p><b>This field may display NSDQ, See <a href="#">Secure Data News#2006-16</a> for more information.</b></p>
As/Of	1	<p>As Of</p> <p><b>Allowed Values:</b> Y = Yes N = No</p> <p>The field reflects data for the reporting MPID – RptEXID field.</p>
B/S/X	1	<p>Side of the trade</p> <p><b>Allowed Values:</b> B = Buy S = Sell X = Cross</p>
EntVol	9	Quantity traded
EntPx	17	Trade price
ClearingPrice	12	Price inclusive of Explicit Fee. Cannot equal trade price.
ExplicitFee	2	<p>This flag indicates if the clearing price was entered.</p> <p><b>Allowed Values:</b> Y = A clearing price was entered Blank = No clearing price was entered</p>
PxO	1	<p>Price Override</p> <p><b>Allowed Values:</b> O = Override X = Supervisory Override V = Contract Amount</p> <p>The field reflects data for the reporting MPID – RptEXID field.</p>
RptShort	1	Reporter Short Sale Indicator

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<b>Data Field</b>	<b>Display Length</b>	<b>Definition</b>
		<p><b>Allowed Values:</b>                      S = Sold Short                      X = Sold Short Exempt                      Blank = not applicable                      P = Proprietary; The Short Sale indicator will always appear as a P (Proprietary) in cases where the value reflects the indicator for the firm not requesting the report or did not submit the trade details.</p>
Source	1	<p>Access method by which the trade was entered.</p> <p><b>Allowed Values:</b>                      A = ACES                      B = CAES                      J = FIX                      K = QIX                      R = ITS                      N = NASDAQ Execution System                      U = UTP                      C = ACT CTCI                      T = ACT HDLC (Manual)                      Default = Blank</p> <p><b>If the Source Value is C or T when the ACT Status Code is R, it is always a QSR trade.</b></p>
ACTStat	1	<p>ACT Status Code</p> <p><b>Allowed Values:</b>                      A = Accepted; Locked-in Trade                      B = Broken                      C = Canceled                      D = Declined                      E = Errored                      F = Forced Matched                      G = Trade which has been forwarded to clearing as a one-sided Submission                      H = a blockbuster or sizable, subject to blockbuster or sizable trade processing                      I = Inhibited (by clearing firm) blockbuster or sizable trade                      K = Rejected Sizeable Trade                      L = Automatic Locked-in Trade (End of T+1)                      M = Matched; Locked-in trade                      O = Contra party entered trade                      R = Locked-in Trade from other Nasdaq systems or QSR trades                      S = Automatic Locked-in Split Trade                      T = Trade Reporting Only And Not For Clearing Submission                      U = unanswered (EP entry)                      X = trades purged from the trade reporting file.</p>

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No#	12	Reserved
N/W	3	Reserved
Contra	4	<p>Contra Executing Party entering 4 Character CPID.</p> <p>This field corresponds to the "Contra Party" field in the Trade Entry and Trade Scan screens in the ACT Workstation.</p> <p><b>This field may display NSDQ. Orders executed anonymously for NASDAQ-listed securities will be represented by the MPID "NSDQ". See <a href="#">Secure Data News#2006-16</a> for more information.</b></p>
ContraCap		<p>Contra Report Capacity</p> <p>Due to its proprietary nature, this field will be masked for the firm not requesting the report. Only a requesting firm's Report Capacity value will be displayed.</p>
ExeDate	6	<p>Execution Date</p> <p>MM/DD/YYYY</p>
CRptTime	15	<p>ContraTrade Report Time</p> <p>HH:MM:SS.mmmmmmmmm</p>
CExeTime	15	<p>Contra Execution Time</p> <p>HH:MM:SS.mmmmmmmmm</p>
CEXID	4	<p>Executing ID (CPID) of Contra Party = Contra CPID Give- Up</p> <p>This field corresponds to the "Contra Party" field in the Trade Entry and Trade Scan screens in the ACT Workstation.</p> <p><b>This field may display NSDQ. Orders executed anonymously for NASDAQ-listed securities will be represented by the MPID "NSDQ". See <a href="#">Secure Data News#2006-16</a> for more information. Also, orders where the firm requesting the report was not the liquidity provider will also show NSDQ.</b></p>

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<b>Data Field</b>	<b>Display Length</b>	<b>Definition</b>
Mkt		Market Category of the Issue:  <b>Allowed Values:</b> N = NASDAQ Global Select Market <sup>SM</sup> or NASDAQ Global Market <sup>SM</sup> R = NASDAQ Capital Market <sup>SM</sup> C = CQS
RptVol	9	Reported Quantity - Trades fewer than 100 shares ("Odd Lots") will appear as a zero since "Odd Lots" are not Media Trade Reported.
RptCenter	1	Defines the market to which the trade entry is reported.  <b>Allowed values:</b> Q=NASDAQ Exchange for NASDAQ-listed securities T = NASDAQ Exchange for Other Exchange-listed securities B = BX for NASDAQ-listed and other Exchange-listed Securities – This value is only available in reports ordered for trade date prior to 11/22/2010. L = FINRA/NASDAQ Trade Reporting Facility D = Portal U = OTCBB u = non-OTCBB
RptPx	17	Reported Unit Price
CShort	1	Contra Short Sale Indicator  <b>Allowed values:</b> S = Short sale X = Short Sale Exempt Blank = not applicable P = Proprietary; The Short Sale indicator will always appear as a P (Proprietary) in cases where the value reflects the indicator for the firm not requesting the report or did not submit the trade data.
Media	1	Media Reported Indicator  <b>Allowed values:</b> N = the trade was not Media Reported R or Blank = the trade was Media Reported
UserRptFlg	1	Flag designated by the user for media "tape" dissemination.  <b>Allowed values:</b>

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		N = not designated for media reporting R = designated for media reporting Default = R
AccptTm	15	Accept Time  Time associated with the contra acceptance of the trade. This field may be null in situations where the trade report is automatically submitted by the NASDAQ execution system to the NASDAQ Exchange.  HH:MM:SS.mmmmmmmmm
DclnTm	15	Decline Time  Time associated with the contra declining the trade. This field may be null in situations where the trade report is automatically submitted by the NASDAQ execution system to the NASDAQ Exchange.  HH:MM:SS.mmmmmmmmm
CmpTime	15	ACT Compare Time  The time that the two sides of the trade were matched in ACT. This time also refers to time of the action listed in the ACT or ACT Stat field. For example, if the trade was cancelled, the time in this field would indicate the time of the trade cancellation.  HH:MM:SS.mmmmmmmmm
N/W Link	12	Reserved
Br Seq	20	Branch Sequence Number User-entered field used for internal routing.  <b>This field may display NSDQ. Orders executed anonymously for NASDAQ-listed securities will be represented by the MPID "NSDQ". See <a href="#">Secure Data News#2006-16</a> for more information.</b>
Reversal	1	The cancellation of a Trade Report occurring after the Trade Date of the original Trade.  <b>Allowed values:</b>

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		D = Not a reversal K = Reversal R = Reversal Blank = Not a Reversal
StepOut	1	<p>The ACT service provides a Step-Out transaction indicator that allows members to identify "Step-Out clearing only entries submitted to ACT for comparison, clearance, and settlement through NSCC. These entries will not be reported to the tape or disseminated to the media.</p> <p><b>Allowed Values:</b>                      2 = FINRA Step-In trade                      A = FINRA Special and Step- In trade                      B = FINRA Step- Out with fees                      C = FINRA Special and Step- Out with Fees                      D = Position Transfer                      F = Nasdaq Sales Fee Transfer                      M = Clearing Only/Non Regulatory                      N = Special and Clearing Only/Non Regulatory                      O = Clearing Copy                      P = Special and Clearing Copy                      Q = Nasdaq Step Out                      S = FINRA Step-out trade                      X = FINRA Special and Step-out trade                      Y = Special trade                      Blank= the transaction is not step-out transaction</p> <p>Clearing Only/Non Regulatory designations will be used in regards to FINRA Rule Filing Notice 2015-035.</p>
Clearing	1	<p>Clearing Indicator - used to denote the clearing and matching specifications of the trade.</p> <p><b>Allowed Values:</b>                      Blank = Match, send to clearing                      A = NASDAQ AGU for clearing                      G = FINRA Automatic Give Up Lock in                      L = Already locked-in by an external system (non-trade reporting)                      N = Not sent to clearing                      Q = QSR locked-in trade, not sent to clearing                      R = Risk update only, not sent to clearing                      S = NASDAQ QSR for clearing                      U = AGU clearing, not risk eligible                      Y = Clearing, non-risk eligible                      Z = QSR, send to clearing (locked-in)</p>
Cntrl#	12	ACT Control Number. Please note this field will be included for any report requested regardless of trade date.

SaleCND1	4	<p>Sales Condition Modifier 1 - (Settlement)</p> <p><b>Allowed Values:</b>  @ - Regular (T+2) (effective until 5/28/24)  @ - Regular (T+1) (value in production effective starting 5/28/24)  C - Cash  N - Next Day (effective until 5/28/24)  R - Seller  Y - Yellow flag regular trade. Not a broker eligible value.</p> <p><b><u>As per the SEC website, as of May 28, 2024, changes will be implemented to "shorten the standard settlement cycle for most broker-dealer transactions in securities from two business days after the trade date (T+2) to one (T+1). The final rule is designed to benefit investors and reduce the credit, market, and liquidity risks in securities transactions faced by market participants."</u></b></p>
SaleCND2	4	<p>Sales Condition Modifier 2 - Trade thru exempt</p> <p><b>Allowed Values:</b>  BLANK - No exemption</p> <p>F or 3 - Intermarket Sweep (Exception: the value of 3 will not be sent to the SIP. A value of "F" or "3" can be provided; however the value of "3" will be sent to the SIP as a value of "F".)  J - Sub Penny (Exception: not sent to the SIP)  O - Market Center Open. Not a broker eligible value.  2 - Self Help (Exception: not sent to the SIP)  4 - Derivatively Price  5 - Market Center reopen. Not a broker eligible value.  6 - Market Center Closing. Not a broker eligible value.  7 - Qualified Contingent Trade (Exception: not sent to the SIP) 8 - Print Correction (effective April 27, 2009 and prior was a reserved value and not used)  9 - Reserved  T = Late Trader Before/After Hours  SLD = Sold Sale (Late)  W = Average</p> <p><b><i>As of March 5, 2007, The values in this field are the values sent to the Securities Information Processor (SIP) and not necessarily the values submitted by the reporting organization. Certain values may be appended by NASDAQ systems. Please refer to the OrigMod field for the values submitted by the reporting organization.</i></b></p>



SaleCND3	4	<p>Sales Condition Modifier 3 - (Extended Hrs/ Sequence Type)</p> <p><b>Allowed Values:</b>  BLANK – Not extended or sequence  L – Sold Last (Late reporting) – Not a broker eligible value.  T – Outside of Market hours  Z = Out of Sequence or Late  U = Pre-Post market Out of Sequence</p> <p>Prior to March 5, 2007, the value of "SLD" was used in SaleCND1.</p> <p><b><i>As of March 5, 2007, the values in this field are the values sent to the Securities Information Processor (SIP) and not necessarily the values submitted by the reporting organization. Certain values may be appended by NASDAQ systems. Please refer to the OrigMod field for the values submitted by the reporting organization.</i></b></p>
SaleCND4	4	<p>Sales Condition Modifier 4 - (SRO Required Detail)</p> <p><b>Allowed Values:</b></p> <p>BLANK – No unusual trade detail  1 – Average Price Trade or Stop Stock Trades (Exception the "1" value is not sent to the SIP: This value is provided when a "W" for UTP Securities or "B" for CQS -Listed Securities is entered in the OrigMod field. The "W" or "B" is sent to the SIP . )  A – Acquisition  B - Bunched  D – Distribution  E – Automatic Execution  G – Opening / Reopening Detail Bunched Sold  H – Price Variation Trade  I – CAP Election Trade  K – Rule 155 Amex / 127 NYSE  M – Market Center Close price  P – Prior reference Price  Q – Market Center Open Price  R - Identifies a trade at a price that is substantially un-related to the current market price. (Exception: not sent to the SIP)  S – Split Trade  V – Contingent Trade  W – Average Price Trade or Stop Stock Trades (UTP Securities) Nasdaq, Inc. August 2017  X -Identifies a trade that was effected pursuant to the exercise of an OTC option. (Exception: not sent to the SIP)</p>

		<p>These values will appear for NASDAQ-listed securities that did not participate in either the Opening or Closing Cross, respectively, for the trade date.</p> <p>Q = The trade set the NASDAQ Official Opening Price (NOOP) M = The trade set the NASDAQ Official Closing Price (NOCP)</p> <p><b><i>As of March 5, 2007, the values in this field are the values sent to the Securities Information Processor (SIP) and not necessarily the values submitted by the reporting organization. Certain values may be appended by NASDAQ systems. Please refer to the OrigMod field for the values submitted by the reporting organization.</i></b></p>
OrigMod	4	<p>Trade reporting modifiers as originally entered by the trade reporter.</p> <p><b>The values in this field are submitted by the reporting organization and are NOT the values sent to the Securities Information Processor (SIP).</b></p>
SSDays	2	<p>Seller Days</p> <p><b>Valid Values:</b> Spaces/Null 00 – for Sale Condition C - Cash 01 – for Sale Condition – Next Day (<a href="#">effective until 5/28/24</a>) 02-60 – for Sale Condition R - Seller (<a href="#">effective starting 5/28/24</a>)</p> <p><b><u><a href="#">As per the SEC website, as of May 28, 2024, changes will be implemented to "shorten the standard settlement cycle for most broker-dealer transactions in securities from two business days after the trade date (T+2) to one (T+1). The final rule is designed to benefit investors and reduce the credit, market, and liquidity risks in securities transactions faced by market participants."</a></u></b></p>
TTExempt	1	<p>Trade Through Exemption</p> <p><b>Allowed Values:</b> 'Y' = Trade through exemption 'N' = No trade through exemption</p>
IntendedMkt	2	<p>Defines the market to which the trade entry is reported.</p> <p><b>Allowed Values:</b> Q = NASDAQ Exchange function</p>

		D = FINRA/Nasdaq TRF (Default)  If Step Out or Special Trade Indicator is other than Y, S, X, or blank, Intended Market Center must be Q.
RelatedMkt	2	Available for Transaction reports submitted through ACT such as step-outs, Non-tape, and riskless principal transactions, the market where the underlying transaction was reported, as applicable.  <b>Allowed Values:</b> A = NYSE MKT B = NASDAQ BX C = National Stock Exchange E = MEMX Exchange F = Foreign Market (ORF only) G = BATS Y-Exchange H = BATS Exchange I = International Securities Exchange J = Direct EDGA Exchange K = Direct EDGX Exchange L = LTSE Exchange M = Chicago Stock Exchange N = New York Stock Exchange P = NYSE ARCA Exchange O = Unknown Market Center Q = NASDAQ Exchange V = IEX Exchange W = Chicago Board Options Exchange T = NASDAQ for CQS securities U = Unspecified Multiple Market Trades X = NASDAQ PSX Y = MIAX Pearl Exchange 0 = FINRA ADF 1 = FINRA/NASDAQ TRF Carteret 2 = FINRA/NASDAQ TRF Chicago 3 = FINRA /NYSE TRF Blank or Null = not applicable
I1I2	4	Reporting Side or Contra Side I1I2 Identifier depending on which side is ordering the report.
MMClearingNbr	20	Market Maker Clearing Number
OEClearingNbr	4	Order Entry Clearing Number
Contra Br Seq	20	The Contra Branch Sequence number.
SaleCND2RptTime	15	SaleCND2 Reported Time  HH:MM:SS.mmmmmmmmm
SaleCND4RptTime	15	SaleCND4 Reported Time  HH:MM:SS.mmmmmmmmm
OrigCtrl#	12	For a Reversal, the original ACT Control Number
OrigCtrlDate	6	For a Reversal, the original Trade Report Date

		MM/DD/YYYY
RefRptFacility	1	Reporting facility identified on the original trade.  <b>Allowed Values:</b> A = ADF B = FINRA / NASDAQ TRF Chicago Q = FINRA/NASDAQ TRF Carteret N= FINRA/NYSE TRF O=ORF (OTC Equity Reporting Facility)
TRFSource	1	1 = FINRA/NASDAQ TRF Carteret 2 = FINRA / NASDAQ TRF Chicago Blank = Not Applicable

Note:

Trade reports that are not locked-in are not included in this report:  
(ACT Trade Status Code = "O") or unanswered (ACT Trade Status Code = "U").