



NASDAQOMXTrader.com

Reg Recon is a real-time, web-based surveillance alert and report tool that assists firms with compliance.

Clearly Erroneous Module — Real-time alerts of potential clearly erroneous trades, online erroneous trade filings to NASDAQ MarketWatch and negotiations with the contra party.

Reg Recon Clearly Erroneous My Filed Trades Reports Field Definitions	
Field Name	Definition
Filer/Contra	Indicates whether your firm was the filer or the contra
Submitted Time	Time clearly erroneous filing was submitted to NASDAQ MarketWatch
Status	Status of filing -11890B Review Initiated -Executed off NASDAQ Exchange: MarketWatch will obtain Ruling and advise -Executing Exchange adjusted price -Executing Exchange let trade stand -Executing Exchange ruled to break -Go to MarketWatch Ruling -MarketWatch: Price Adjusted -MarketWatch: Trade Stands -MarketWatch: Trade Broken -MarketWatch Under Investigation -Rejected -Resolved: Adjusted price accepted -Resolved: Mutual Break -Submitted -Under Review: Contra made offer -Under Review: Contra notified -Under Review: Contra offline -Withdrawn by Submitter
MPID	Firm's market participant identifier
Exec Time	Time of execution
Side	Trade side: B = Buy S = Sell T = Short Sale
Shares	Number of shares in execution
Symbol	Security's symbol
Exec Price	Price per share of execution
Match ID	Identification number applied by the NASDAQ

Updated 6-26-09

Reg Recon is intended as only one source of assistance for NASDAQ member firms with their compliance obligations and does not purport in any way to ensure or guarantee compliance. This alert is solely a guide for what may constitute an erroneous trade — users should evaluate all trades on a case-by-case basis.

	Exchange
Last Updated	Time of last status update in the Clearly Erroneous process
Adjusted Amt	New price if execution price is adjusted by MarketWatch or parties

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