



NASDAQOMXTrader.com

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

**Reg NMS Module**– Real-time warning of potential trade-through trades

Reg Recon Reg NMS Reports Field Definitions	
Field Name	Definition
Symbol	Symbol of the issue
Side	Side of the Trade B= Buy S= Sell X= Cross
Price	Entered Price
Quantity	Entered Quantity of Trade
BBO	First protected quote traded through as per definitions of Reg Recon.
TRS	Trade Report Status U, O, D= Unmatched M, A, L, G, S = Locked In R, T= Tape C, K, I, M, B, E, X, D = Other
Modifier	Sale condition modifier on SIP Trade report.  Refer to <a href="#">sales condition matrix</a> .
TT Exempt	Indicates whether or not the trade was entered with the Trade Through Exempt Flag Y = Yes N = No
MM	Market Maker
OE	Order Entry
I112	NASDAQ User Name/Port name
Control Number	Control Number applied to Trade by ACT
Time	Reported time of transaction

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.