

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

Equity Trade Journal Download CSV and TXT 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	<p>Reporting Executing Party entering 4 characters EPID.</p> <p>This field corresponds to the "Executing Party" field in the Trade Entry and Trade Scan screens Weblink ACT 2.0 and NASDAQ 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>
Cap	1	<p>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> <p><b>Allowed Values:</b>            A = Agent            I = Intra-Broker            P = Principal            R = Riskless Principal            Blank = Proprietary Data</p>
RptDate	6	<p>Trade Report Date</p> <p>MM/DD/YYYY</p>
RptTime	6	<p>Trade Report Time</p> <p>HH:MM:SS</p> <p>This is an optional field unless the trade is being reported more than 90 seconds after the trade is executed.</p>
ExeTime	6	Trade Execution Time

		HH:MM:SS
RptEXID	4	<p>Executing ID (EPID) of Reporting Party = EPID Give-up.</p> <p>This field corresponds to the "Executing Party" field in the Trade Entry and Trade Scan screens Weblink ACT 2.0 and NASDAQ 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	Entered Quantity
EntPx	17	Entered Unit 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

		<p><b>Allowed Values:</b>  S = Short sale  X = 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>Trade Source</p> <p><b>Allowed Values:</b>  J = FIX/CTCI  K = NASDAQ Workstation/Weblink ACT  N = NASDAQ Execution System  T = Supervisory</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 = One-sided Submission  I = Inhibited (By Clearing Firm)  K = Rejected Sizeable Trade  L = Automatic Locked-in Trade at the End of T+1  M = Matched; Locked-in trade  N = No portion of No/Was trade  R = Locked-in Trade; Received Via An Execution System Interface  S = Automatic Locked-in Split Trade  T = Trade Reporting Only And Not For Clearing Submission</p>
No#	12	<p>No Link Control Number  Control Number Of No report</p>
N/W	3	<p>No/Was Indicator</p> <p>No  Was (if the record is associated with a No report or a Was report)</p>
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 Weblink ACT 2.0 and NASDAQ 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</b></p>

		<b>information.</b>
ContraCap		Contra 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.
ExeDate	6	Execution Date  MM/DD/YYYY
CRptTime	6	ContraTrade Report Time  HH:MM:SS  This is an optional field unless the trade is being reported more than 90 seconds after the trade is executed.
CExeTime	6	Contra Execution Time  HH:MM:SS
CEXID	4	Executing ID (CPID) of Contra Party = Contra CPID Give- Up  This field corresponds to the "Contra Party" field in the Trade Entry and Trade Scan screens Weblink ACT 2.0 and NASDAQ 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>
Mkt		Market Category of the Issue:  <b>Allowed Values:</b> Q = NASDAQ Global Select Market <sup>SM</sup> G = NASDAQ Global Market <sup>SM</sup> S = NASDAQ Capital Market <sup>SM</sup> P = NYSE ARCA
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	Reporting Center of the Trade  <b>Allowed values:</b> Q=NASDAQ Exchange for NASDAQ-listed securities

		<p>T = NASDAQ Exchange for Other Exchange-listed securities</p> <p>B = OMX 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.</p> <p>L = FINRA/NASDAQ Trade Reporting Facility</p> <p>D = Portal</p> <p>U = OTCBB</p> <p>u = non-OTCBB</p>
RptPx	17	Reported Unit Price
CShort	1	<p>Contra Short Sale Indicator</p> <p><b>Allowed values:</b></p> <p>S = Short sale</p> <p>X = Exempt</p> <p>Blank = not applicable</p> <p>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.</p>
Media	1	<p>Media Reported Indicator</p> <p><b>Allowed values:</b></p> <p>N = No the trade was not Media Reported</p> <p>R or Blank = the trade was Media Reported</p>
UserRptFlg	1	<p>Flag designated by the user for media "tape" dissemination.</p> <p><b>Allowed values:</b></p> <p>N = not designated for media reporting</p> <p>R = designated for media reporting</p> <p>Default = R</p>
AcptTm	12	<p>Accept Time</p> <p>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.</p> <p>HH:MM:SS</p> <p>The field can contain up to 12 characters, but at this time only the first 6 will be populated.</p>
DclnTm	12	<p>Decline Time</p> <p>Time associated with the contra declining the trade. This field may be null in situations where the trade report is automatically submitted by the</p>

		<p>NASDAQ execution system to the NASDAQ Exchange.</p> <p>HH:MM:SS</p> <p>The field can contain up to 12 characters, but at this time only the first 6 will be populated.</p>
CmpTime	6	<p>ACT Compare Time</p> <p>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.</p> <p>HH:MM:SS</p>
N/W Link	12	<p>Was Link Control Number</p> <p>Control number of Was report</p>
Br Seq	20	<p>Branch Sequence Number</p> <p>User-entered field used for internal routing.</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>
Reversal	1	<p>The cancellation of a Trade Report occurring after the Trade Date of the original Trade.</p> <p><b>Allowed values:</b>  R = Reversal  Blank = Not a Reversal  D = Trade Reporting Facility (TRF) Trade, Not a Reversal.  K = Trade Reporting Facility (TRF) Trade, Reversal.</p>
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>  F = NASDAQ Fee Transfer  O = Non-NASDAQ Fee Transfer  Q = Step Out occurred on NASDAQ  Y = a "special trade" ad instructs the NSCC not to include the trade in CNS settlement.  S = a "Step Out" trade  X = a "special and Step-out trade" and instructs</p>

		<p>the NSCC not to include the trade in CNS settlement.</p> <p>Null = the transaction is not step-out transaction</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 = Do not match, locked-in, send to clearing  L = Already locked-in by an external system (non-trade reporting); not intended for trade matching, sent as locked-in trade to the DTCC. (Output only)  N = Do not match, do not send to clearing  Q = QSR locked-in trade, do not send 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 = Do not match, send to clearing (locked-in), received via QSR entry or via external system interface (ESI)</p> <p>*Values effective 11/26/2008.</p>
Cntrl#	12	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  C - Cash  N - Next Day  R - Seller  Y - Yellow flag regular trade. Not a broker eligible value.</p> <p><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></p>
SaleCND2	4	<p>Sales Condition Modifier 2 - (Trade thru exempt)</p> <p><b>Allowed Values:</b>  BLANK - No exemption  F or 3 - Intermarket Sweep (<i>Exception: the value of 3 will not be sent to the SIP. A value of "F" or</i></p>

		<p>"3" can be provided; however the value of "3" will be sent to the SIP as a value of "F".)</p> <p>J – Sub Penny (Exception: not sent to the SIP)</p> <p>O – Market Center Open. Not a broker eligible value.</p> <p>V – Contingent Trade (Exception: not sent to the SIP)</p> <p>2 – Self Help (Exception: not sent to the SIP)</p> <p>4 – Derivatively Price</p> <p>5 – Market Center reopen. Not a broker eligible value.</p> <p>6 – Market Center Closing. Not a broker eligible value.</p> <p>7 – Error Correction (effective April 27, 2009 and prior was a reserved value and not used)</p> <p>8 – Print Correction (effective April 27, 2009 and prior was a reserved value and not used)</p> <p>9 - Reserved</p> <p>T = Late Trader Before/After Hours</p> <p>SLD = Sold Sale (Late)</p> <p>W = Average Price</p> <p>or Blank</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></p> <p>BLANK – Not extended or sequence</p> <p>L – Sold Last (Late reporting) – Not a broker eligible value.</p> <p>T – Late Trade Pre/Post Market Trade</p> <p>U – Late Trade Pre/Post Market Sold Out of Sequence</p> <p>Z – Sold – late reported trade beyond 30 seconds of the execution time or out of sequence <u>during</u> regular market hours.</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>  BLANK – No unusual trade detail  1 – Average Price Trade or Stop Stock Trades  <i>(Exception the "1" value is not sent to the SIP: This value is provided when a "W" for UTP Securities or "B" for COS-Listed Securities is entered in the OrigMod field. The "W" or "B" is sent to the SIP.)</i>  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.  <i>(Exception: not sent to the SIP)</i>  S – Split Trade  W – Average Price Trade or Stop Stock Trades  <i>(UTP Securities)</i>  X -Identifies a trade that was effected pursuant to the exercise of an OTC option. <i>(Exception: not sent to the SIP)</i></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 reporting organization.</p> <p><b>The values in this field are submitted by the reporting organization and are NOT the values sent to the Securities Information</b></p>

		<b>Processor (SIP).</b>
SSDays	2	<p>Sell Sale Days</p> <p><b>Allowed Values:</b>  Spaces/Null  00 – when Sale Condition = ‘C’ash  01 – when Sale Condition = ‘N’ext Day  02, 04 – 60 – when Sale Condition = ‘R’ (seller)</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  D = Over the Counter Market function (Default)</p> <p>If Step Out or Special Trade Indicator is other than Y, S, X, or blank, Intended Market Center must be Q.</p>
RelatedMkt	2	<p>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.</p> <p><b>Allowed Values:</b>  A = NYSE Amex  B = NASDAQ OMX BX. Prior to January 16, 2009, Boston Stock Exchange.  C = National Stock Exchange  G = BATS Y-Exchange, Inc. (BYX)(allowable 12/14/2009; not active yet)  H = BATS Exchange, Inc.  I = International Securities Exchange  J = EDGA Exchange, Inc. (EDGA) (will be active 05/12/2010)  F = Foreign Market (ORF only)  K = EDGX Exchange, Inc. (EDGX) (will be active 05/12/2010)  M = Chicago Stock Exchange  N = New York Stock Exchange, LLC (NYSE)  O = Other than Over the Counter Market Trade for any security. Redefined to mean Unknown Market Center  P = Pacific Stock Exchange  Q = The NASDAQ Stock Market LLC  T = The NASDAQ Stock Market LLC for CQS securities  U = Unspecified Multiple Market Trades</p>

		W = Chicago Board Options Exchange X = NASDAQ OMX PSX (Upon launch) 0 = ADF Only 1 = FINRA/NASDAQ TRF 3 = NYSE TRF Blank or Null = not applicable
I112	4	Reporting Side or Contra Side I112 Identifier depending on which side is ordering the report.
Contra Br Seq	20	The Contra Branch Sequence

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").