

Amendments per File File Specifications v2.0

1. File name: xxxyyyymmdd_<filename>.csv

Where:

yyyymmdd – Trade Date

xxx – 3 digit broker id

Filename – any filename

Upon submission, the file will be renamed to:

xxxxyyyymmdd_<Datetimestamp hh:mm:ss>.csv

Where:

yyyymmdd – Trade Date

xxx – 3 digit broker id

Datetimestamp hh:mm:ss – date and time when the file was uploaded

2. File layout:

| Data Requirement | Data Type | Format/Valid Values | Description |
|--------------------------------|-----------|--------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Trade Date | X,8 | yyyymmdd | Date the trade is executed or matched |
| Confirmation No | N, 10 | 9999999999 | Confirmation number per trade |
| Security Symbol | X, 5 | Alphanumeric | Valid security symbols |
| Number of Shares | N, 12 | 999999999999 | Number of shares for the whole trade |
| Amended Number of Shares | N,12 | 999999999999 | Number of shares to be amended |
| Price | X,15 | 9999999999.9999 | Price of the trade |
| Original Client Account Code | X,120 | Alphanumeric, except for comma | This is the account used for the trade. The account code can be a combination of alphanumeric characters, except for comma ",". |
| Original PSE Client Account Id | X, 14 | Alphanumeric | PSE Account Id of the original client account code. Unique code that corresponds for each client type of the investor in the trading system. This is used as the Clearing Account and Investor Id in PAM. |
| Amended Client Account Code | X,120 | Alphanumeric, except for comma | This is the new account that will be used to amend the original client account code. The account code can be a combination of alphanumeric characters, except for comma ",". |
| Amended PSE Client | X, 14 | Alphanumeric | PSE Account Id of the amended |



| Data Requirement | Data Type | Format/Valid Values | Description |
|----------------------|-----------|----------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Account Id | | | client account code. Unique code that corresponds for each client type of the investor in the trading system. This is used as the Clearing Account and Investor Id in PAM. |
| Reason | X, 500 | Alphanumeric | Reason for the request to amend the trade. |
| Board Flag | X,1 | M,O | Indicator for the Board M – Main O – Odd lot |
| Original Side | X,1 | B, BB ,S, SS | Indicator for the original side of the trade B = Buy BB = Buyback S = Sell SS = Short Sell |
| Amended Side | X,1 | B,BB,S,SS | Indicator for the amended side of the trade B = Buy BB = Buyback S = Sell SS = Short Sell |

X- Varchar, N-Numeric

- The information is **pipe (|) delimited**. Each row contains a set of information.
- The number of shares and price are not comma delimited.
- The amended client account code is blank if only the side is being amended. In addition, the amended side is blank if only the client account code is being amended.**
- Row 1 will contain the column headers:

Trade Date, Confirmation No, Security Symbol, Number of Shares, Amended Number of Shares, Price, Original Client Account Code, Original PSE Client Account Id, Amended Client Account Code, Amended PSE Client Account Id, Reason, Board Flag, **Original Side**, **Amended Side**

- The format of the data is as follows:

yyyymmdd|Confirmation No|Security Symbol|Number of Shares|Amended Number of Shares|Price|OriginalClient Account Code|Original PSE Client Account Id|Amended Client Account Code|Amended PSE Client Account Id|Reason|Board Flag|**Original Side**|**Amended Side**

Revision History

| Date Revised | Version | Section Revised |
|--------------|---------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 10/31/2014 | 2.0 | <p>1. Change Side label to Original Side</p> <p>2. Included the possible values for Original Side: BB = Buyback SS = Short Sell</p> <p>3. Included the Amended Side field and possible values: B = Buy BB = Buyback S = Sell SS = Short Sell</p> <p>4. Change delimiter to pipe ().</p> <p>5. Included rule for amending side (#5 above).</p> <p>Released as v2.0 AMENDMENTS_FILE_SPECS_v2.0.pdf</p> |