

# Trade Reconciliation Files

NYSE Equity Uncompared/Advisory File

NYSE Equity Step Out Unaffirmed/Alert File

400 Byte Format

Exhibit A



April 14, 2005

## Document Information

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The following chart lists all versions of the document.

### Document History

<b>Version</b>	<b>Date</b>	<b>Pages Affected</b>	<b>Changes</b>
4.5	02/17/05	29, 30	<ul style="list-style-type: none"><li>- Changed of field name definition for (Position 235-235) to Special Trade or Step In/Step Out Indicator, previously Special Trade</li><li>- Changed of field name definition for (Position 281-295) to Firm Branch-Sequence or Order ID, previously only Firm Branch ID/Sequence Number.</li><li>- Change of Comments field Value definition (position 336-337) to Spaces, DK (If Equity), RJ, RR,RC (If Step Out), previously Spaces, DK (If Equity), RJ (If Step Out).</li><li>- Change of Comments field Value definition (position 338-338) to Blank, "R", "C". Previously, Blank, "R".</li><li>- Change of field definition (position 378-383) to Order Date, previously spaces.</li><li>- Change of field definition (position 384-389) to Report Link ID, previously spaces.</li></ul>
4.5.1	04/14/05	30	<ul style="list-style-type: none"><li>- Change of field definition (position 390 – 393) Introducing Badge/Send-to-Broker to, previously spaces.</li><li>- Change of field definition (position 394 - 397) Bill- To-Badge , previously spaces.</li><li>- Change of field definition (position 398- 398) Order Instruction, previously spaces.</li></ul>

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**OCS Trade Reconciliation Files****Detail**

Autoroute ID's:

Record Length: 400

NYSE Uncompared/Advisory File :

Production: 06010984Test: 06980984SOS Unaffirmed/Alert File:Production: 06010983

Test: 06980983

Revised: April 14, 2005

Description	Length	Start	End	Type	Comments
<b>PARTIES DATA</b>					
Major Clearing Firm	4	1	4	A/N	NYSE Clearing Firm Alpha (Give-up)
“ “	4	5	8	A/N	N/A
“ “	4	9	12	A/N	N/A
“ “	4	13	16	A/N	NSCC Clearing Number
“ “	11	17	27	A/N	N/A
Major Executing Broker	4	28	31	A/N	NYSE Badge Number or (FAO if Step Out)
“ “	4	32	35	A/N	N/A
“ “	11	36	46	A/N	N/A
Major Entering Broker/ Submitting Firm	4	47	50	A/N	NYSE Entering Firm Mnemonic
Introducing Badge/Send To Broker	4	51	54	A/N	N/A For DTCC usage on corresponding compared output
“ “	3	55	57	A/N	N/A
Contra Clearing Firm	4	58	61	A/N	NYSE Clearing Firm Alpha (Give-up)
“ “	4	62	65	A/N	N/A
“ “	4	66	69	A/N	N/A
“ “	4	70	73	A/N	NSCC Clearing Number
“ “	11	74	84	A/N	N/A
Contra Executing Broker	4	85	88	A/N	NYSE Badge Number or (FAO if Step Out)
“ “	4	89	92	A/N	N/A
“ “	11	93	103	A/N	N/A
Order Capacity	1	104	104	A/N	NYSE Account Type (N/A If Step Out)
<b>MARKET DATA</b>					
Originating Market /Trade Source	4	105	108	A/N	XNYS = NYSE
Last Market System	4	109	112	A/N	O = OCS S = SOS (Step Out)
Last Market Match	2	113	114	A/N	N/A

Description	Length	Start	End	Type	Comments
<b>SECURITY DATA</b>					
Security ID	9	115	123	A/N	CUSIP
Future Use	1	124	124	A/N	Constant = 1
Security ID Symbol	15	125	139	A/N	Listed Security Symbol
Security ID ISIN	12	140	151	A/N	N/A
Security Type	6	152	157	A/N	N/A
<b>DEAL DATA</b>					
Trade Status	1	158	158	A/N	U = Uncompared/Unaffirmed A = Advisory/Alert
Side	1	159	159	A/N	1 = Buy 2 = Sell
Last Shares	11	160	170	N	Share Quantity
Odd-lot	1	171	171	A/N	0 = Round-lot 1 = Odd-lot 2 = Partial Round-lot (Blank if Step Out)
Last Price	12	172	183	N	12 Digits – Use Last Price Decimal Indicator to determine decimal position
Last Price Decimal Indicator	1	184	184	A/N	0 = No decimal Positions 1 = 1 Decimal Position 2 = 2 Decimals 3 = 3 Decimals 4 = 4 Decimals 5 = 5 Decimals 6 = 6 Decimals (If Step Out) 7 = 7 Decimals 8 = 8 Decimals 9 = 9 Decimals A = 10 Decimals B = 11 Decimals C = 12 Decimals
Principal Trade Amount	16	185	200	N	2 Decimal Positions
Currency	3	201	203	A/N	USD = US Dollars
Transaction Time	6	204	209	A/N	Time of Execution HHMMSS (Military) (N/A If Step out)
Order Time	6	210	215	A/N	N/A
Trade Type	1	216	216	A/N	N/A
Trade Date	8	217	224	A/N	CCYYMMDD

Description	Length	Start	End	Type	Comments
<b>SETTLEMENT DATA</b>					
Settlement Date	8	225	232	A/N	N/A
When and if Issued	1	233	233	A/N	<b>0 = Regular Way</b> 1 = When and if Issued
Netting Indicator	1	234	234	A/N	N/A
Special Trade or Step In/ Step Out Ind	1	235	235	A/N	<b>(If NYSE Equity)</b> E = Ex Clearing X = Special Trade Blank Otherwise <b>(If Step-IN/Out)</b> I= Step In O=Step Out Blank Otherwise
Settlement Type	3	236	238	A/N	Blank = Regular Way CA = Cash ND = Next Day ### = Delayed Delivery (Seller's Option) number of business days up to 180 (N/A If Step Out)
Settlement Location	2	239	240	A/N	N/A
Accrued Interest Amount	9	241	249	N	N/A
Net Settlement Money	16	250	265	N	N/A
<b>TRADE ID'S / ORIGINATING MARKET</b>					
Executing ID	15	266	280	A/N	OCS Control Number First character defines input mode: 1 = SOS 3 = OCS FALL BACK 5 = OCS MQM 8 = OCS BBSS/CMS 9 = OCS Terminal
Order ID	15	281	295	A/N	Firm Branch ID/Sequence Number or Fesc Order ID (N/A If Step Out)
Secondary Order ID	15	296	310	A/N	N/A
Client Order ID	15	311	325	A/N	N/A
Turnaround Number	9	326	334	A/N	SDOT Trade Reference Number (N/A If Step Out)

Description	Length	Start	End	Type	Comments
<b>CONTROL DATA</b>					
Accepted/Rejected	1	335	335	A/N	0 = Accepted
NSCC Reject Codes	2	336	337	A/N	Spaces = Not DK'd or Rejected DK = Don't Know by Contra Firm (If NYSE Equity) RJ = Rejected by Contra Firm (or "DKed" by Contra) RR = Rejected Reversal RC = Rejected Correction or Space (If Step Out)
Reversal/Correction	1	338	338	A/N	Blank = Original Trade R = Reversal Indicator C = Correction Indicator
<b>MARKET SPECIFIC DETAILS</b>					
Redefined Area	30	339	368		For Market Use
NYSE Fields:					
OCS Comments 1	10	339	348	A/N	Knows Quantity (Related Compared) or Free Form Comments
OCS Comments 2	15	349	363	A/N	Free Form Comments If Step Out, than OCS Comments 1 & 2 (339-363) will be used for Free Form Comments
ADOT Execution	1	364	364	A/N	N/A
CAP ORDER Execution	1	365	365	A/N	N/A
NX Execution	1	366	366	A/N	N/A
Xpress Execution	1	367	367	A/N	N/A
Inhibitor	1	368	368	A/N	I = Specialist Inhibitor Blank Otherwise
Agency Identification	3	369	371	A/N	BBSS ID (N/A if Step Out)
OCS Entry Time	6	372	377	N	HHMMSS (Military Time)
Order Date	6	378	383	A/N	YYMMDD Order date associated with Order ID
Report Link ID	6	384	389	A/N	Report Link ID, required on e-Quote executions against the omnibus account of LMT/0789.
Bill-To-Broker	4	394	397	A/N	N/A For DTCC usage on corresponding compared output
Order Instruction	1	398	398	A/N	1= Buy 2= Sell 3= Sell short 4= Sell Short Exempt 5= Buy minus 6= Sell Plus
<b>FUTURE USE</b>					
Future Use	2	399	400		