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# **Interface Requirements Specification (IRS)**

for the

## **Switching After Hours (SAH) Merged Order Log (MOL) Machine Readable Output (MRO) Files**

Version 6.0

Prepared by Business Requirements Team

September 24, 2012

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### Notice

Every effort was made to ensure that the information in this document was complete and accurate at the time of publication. However, information is subject to change without notice.

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## Document Information

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**Document history** The Revision History was moved to a separate document beginning with version 5.0. Please refer to that document for a list of all history and dates.

## Introductory Notes

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**Overview** This document describes the formats for the Merged Order Log Machine Readable Output (MRO) Files.

At the end of each business day, NYSE Euronext provides to customers upon request a detailed account of that customer's order information, administrative messages and execution reports in both NYSE and NYSE/MKT Listed Securities that were processed during the day at its point-of-sale and/or its Floor Broker Systems. The output is known as the Merged Order Log and is available in both print-image and machine readable output form. Customers are entitled to one free output (file or print-image).

Four different versions of the output are available:

**Badge:** Any message containing a broker badge will appear on this output. Normally any activity sent to eBroker or BBSS.

**Agency ID:** Any message containing an Agency ID will appear on this output. Normally any activity routed through BBSS.

**Clearing Firm:** Any message containing a specific Clearing Firm (multiple EF Mnemonics can be associated with one specific clearing firm)

**Entering Firm:** Any message containing a specific Entering Firm Mnemonic

**Autoroute products** Autoroute Product numbers for the Merged Order Log outputs are listed below:

<b>Output</b>	<b>MRO Format</b>	<b>Print-Image Format</b>
Badge	#06200574	#06201028
BBSS Agency ID	#06010578	#06010166
Clearing Firm	#062200564	#06010641
Entering Firm	#06220527	#06222466

**Note:** The print-image formats are not described in this document.

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**CR character** In these formats, **CR** denotes the one-byte carriage return character (binary '0000 1101' or hexadecimal '0D').

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**LF character** In these formats, **LF** denotes the one-byte line-feed character (binary '0010 0011 or hexadecimal '25'). For ASCII recipients, LF = binary 0000 1010 x'0A'.

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**ETX character** In these formats, **ETX** denotes the one-byte end-of-text character (binary '0000 0011' or hexadecimal '03').

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**Notation for field format and length**

Field format and length are shown in COBOL notation:

A(x) – alphabetic field of length x  
X(x) – alphanumeric field of length x  
9(x) – numeric field of length x

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## MRO Record Type 1A – Order without Miscellaneous Text

**Record type 1A** Record type 1A shall be used for orders without miscellaneous text.

– Order w/o

Lines 3F/4

Field Name	Position Start-End	Format (Length)	Field Value
RECORD TYPE	1-2	X(2)	1A = Order without Line 3F/4 information
ENTERING FIRM TAG 115 (ONBEHALFOFCOMPI D)	3-6	A(4)	Entering Firm alpha
CLEARING NUMBER TAG 439 (CLEARING FIRM)	7-10	9(4)	Entering Firm's clearing number
SYMBOL TAG 55 (SYMBOL) TAG 65 (SYMBOLSFX)	11-21	X(11)	Listed security symbol – space between base and suffix, no special characters
LOT INDICATOR	22-22	X(1)	2=Round lot  (Values 1 (OL) and 3(PRL) Obsolete)
FILLER	23-25	X(3)	Spaces
TURNAROUND NUMBER	26-31	X(6)	System assigned Turnaround number (e.g., AA9999 or 123456)

COMMON FIELDS – ON ALL RECORDS

## MRO Record Type 1A – Order without Miscellaneous Text, Continued

Field Name	Position Start-End	Format (Length)	Field Value
BRANCH SEQUENCE TAG 11 (CIORDID) (FIRST 8 BYTES OF TAG 11)  FOR DOT PARTIAL ORDERS (1B), USE TAG 9451 (PARENT ORDER BRANCH CODE, SEQUENCE NUMBER AND DATE)	32-40	A(4)9(5)	BRANCH and BRANCH SEQUENCE NUMBER  A(4) – BRANCH alpha represents the Branch office that entered the order for the entering firm  9(5) – BRANCH SEQUENCE NUMBER is assigned by a branch office to each order transmitted to the NYSE
DESIGNATED MARKET MAKER UNIT	41-43	9(3)	Unit number of the Designated Market Maker for the Security Symbol
FILLER	44-52	X(9)	Spaces
POSS DUPE TAG 43 (POSSDUPFLAG)  OR TAG 97 (POSSRESENDFLAG)	53-53	X(1)	1 = Poss Dupe D = Rule 902 E = Poss Dupe Rule 902 F = Auto Execution G = Poss Dupe of Auto-Execution H = Non-auto Execution I = Poss Dupe of Non-auto Execution  Otherwise 0 or Space
BOOTH/BOOKED INDICATOR	54-54	X(1)	0 = Post 1 = Booth 2 = Booked
ORDER TIME	55-60	9(6)	Time at which the order or Makes message was entered: HHMMSS
ORDER DATE TAG 11 (CLORDID) (LAST 8 BYTES OF RECORD)	61-68	X(8)	Date on which the order or Makes message was entered: CCYYMMDD

## MRO Record Type 1A – Order without Miscellaneous Text, Continued,

Continued

Field Name	Position Start-End	Format (Length)	Field Value
ORDER STATUS TAG 39 (ORDSTATUS – APPLICABLE FOR VALUES C, R, AND X)	69-69	X(1)	C = Cancel from a Cancel/Replace 2-part order H = Order reconstructed from an e-Broker message K = Makes order message M = Missing order O = Order present P = Prior date order R = Replacing order from a Cancel/Replace 2-part order X = Cancel order Y = Order reconstructed from a Makes order message
ORDER TYPE TAG 40 (ORDTYPE)	70-70	X(1)	0 = MKT (Market) 1 = LMT (Limit) 2 = STP (Stop) 4 = MOC (Market on Close) C = Close D = LOC (Limit on Close)

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## MRO Record Type 1A – Order without Miscellaneous Text, Continued, Continued

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Field Name	Position Start-End	Format (Length)	Field Value
ORDER INSTRUCTION TAG 54 (SIDE)	71-71	X(1)	1 = BUY 2 = SL (Sell long) 3 = SSHT (Sell Short) 4 = SSHT EXEMPT (Sell Short Exempt) 5 = BUY MINUS 6 = SL PLUS (Sell Plus) 7 = Buy Minus Zero Plus
ORDER ENTRY METHOD	72-72	9(1)	System that was used to enter the order 0 = CCG 1 = GTM 2 = Display Book 3 = BBSS 4 = DMM
TIME IN FORCE TAG 59 (TIMEINFORCE)	73-73	X(1)	1 = Day (good for current day) market 2 = GTC (good till canceled) market 3 = OPG (execute on opening) 4 = GTC limit 5 = OC (immediate or cancel) 6 = FOK (fill or kill) 7 = Day limit (Value 8 = GTX obsolete)
ORDER QUANTITY TAG 38 (ORDERQTY)	74-82	9(9)	Number of shares in the order

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## MRO Record Type 1A – Order without Miscellaneous Text, Continued, Continued

Field Name	Position Start-End	Format (Length)	Field Value
LIMIT PRICE CODE	83-83	X(1)	0-9 – Number of decimal digit(s) in the Limit Price
LIMIT PRICE TAG 44 (PRICE)	84-95	9(12)	Populated only for Limit Order or Stop Limit Order  Format is 9(12-n)9(n) where: n represents Limit Price Code value – denoting the number of decimal digit(s) in the Limit Price 9(12-n) represents dollar digits 9(n) represents the decimal digits e.g., 33.50 is represented as 000000003350 with Limit Price Code = 2
STOP PRICE CODE	96-96	X(1)	0-9 – Number of decimal digit(s) in the Stop Price
STOP PRICE TAG 99 (STOPPX)	97-108	9(12)	Populated only for Stop Order or Stop Limit Order  <i>see LIMIT PRICE for format</i>
SETTLEMENT TERMS TAG 63 (SETTLMNTTYP)	109-111	X(3)	C = Cash ND = Next Day nnn = number of days Sellers Option (002-060) Spaces = Regular Settlement

*Continued on next page*

## MRO Record Type 1A – Order without Miscellaneous Text, Continued, Continued

Field Name	Position Start-End	Format (Length)	Field Value
ACCOUNT TYPE TAG 47 (RULE 80A)	112-112	X(1)	A = Agency B = Short exempt transaction for other agency customer accounts C = Program trade, non-index arbitrage for Member/Member Organization D = Program trade, index arbitrage for Member/Member Organization E = Registered Equity Market Maker trades F = Short exempt transaction for proprietary account H = Short exempt transaction for account of individual investor I = Individual investor J = Proprietary Algorithmic Program Trading K = Agency Algorithmic Program Trading L = Short exempt transaction for the account of a market-maker M = Program Trade, index arbitrage as agent for other member N = Program Trade, non-index arbitrage agent for other member O = Competing dealer trades P = Principal Q = Error account R = Competing dealer trades S = Designated Market Maker trades T = Competing dealer trades U = Program trade, index arbitrage for Other Agency W = All other orders as agent for other member X = Short exempt transaction for account of unaffiliated member's competing market-maker Y = Program trade, non-index arbitrage for Other Agency

*Continued on next page*

## MRO Record Type 1A – Order without Miscellaneous Text, Continued, Continued

Field Name	Position Start-End	Format (Length)	Field Value
FILLER	113-113	X(1)	Space (Sell Conversion Value 3 obsolete)
CANCEL TURNAROUND NUMBER	114-119	X(6)	For cancel and replace orders – System assigned Turnaround number (e.g., AA9999 or 123456)
CANCEL BRANCH SEQUENCE TAG 41 (ORIGCLORDID)	120-128	X(4)9(5)	For cancel and replace orders – Firm assigned Branch Sequence of the order that was canceled (e.g., AAAA99999)
SPECIAL ORDER INDICATOR TAG 9487 (ROUTINGINSTRUCTION)	129-129	X(1)	5 = DOT order from e-Broker 6 = Closing offset order (future value) 7= ISO (Intermarket Sweep Order; do not ship) 8 = SOC (Reg NMS immediate or cancel; do not ship) order 9 = DNS (Do Not Ship) P = DOT order from e-Broker/SOC order – see values 5 and 8 Q = DOT order from e-Broker/DNS order – see values 5 and 9 R = e-Broker closing offset order (future value) W = Retail Price Improvement X = Retail Only Y = Retail No Route Z = Retail Route Otherwise 0 or Space

*Continued on next page*

## MRO Record Type 1A – Order without Miscellaneous Text, Continued, Continued

Field Name	Position Start-End	Format (Length)	Field Value
FILLER	130-130	X(1)	Space
DO NOT INDICATOR TAG 18 (EXECINST)	131-131	X(1)	1 = DNI (Do Not Increase) 2 = DNR (Do Not Reduce) Otherwise 0 or Space
FILLER	132-134	X(3)	Spaces
ENTERING BOOTH ID TAG 143 (TARGETLOCATIONID – DESTINATION FROM FLOOR)	135-137	X(3)	Agency ID of Entering Booth
DESTINATION BOOTH ID TAG 143 (TARGETLOCATIONID – DESTINATION FROM FIRM)	138-140	X(3)	Agency ID of Destination Booth
ASOF INDICATOR	141-141	X(1)	As-of data order indicator: Y = Yes N = No
ORDER WRITE-IN DATE	142-146	X(5)	As-of order date – YYDDD (modified Julian date format)
PRIMARY MARKET	147	9(1)	0 = NYSE 1 = NYSE MKT 2 = NYSE MKT NASDAQ - UTP
FILLER	148-149	X(2)	Spaces
ORDER WRITE-IN TIME	150-155	X(6)	As-of order time – HHMMSS
DBTIME	156-165	X(10)	Designated Market Maker Display Time – HHMMSSstttt
FILLER	166-170	X(5)	Spaces
ACCOUNT ID TAG 1	171-202	X(32)	The 32-byte tag that firms can choose to populate with their own order or customer identification information.

## MRO Record Type 1A – Order without Miscellaneous Text, Continued, Continued

FIELD NAME	Position Start-End	Format (Length)	Field Value
MESSAGE INDICATOR	203-203	X(1)	2 = e-Quote 3 = g-Quote 4 = d-Quote 5 = Reserve Order
FILLER	204-207	X(4)	Spaces (used in 1C record for e-Quote type)
RESERVE PUBLISH QUANTITY TAG 111 (MAXFLOOR)	208-216	9(9)	Blank = non-reserve 0 = Zero-Publish Quantity Qty = Publish Quantity
LEAVES QUANTITY	217-225	9(9)	Quantity on a GTC order at the beginning of the activity date.
SENDER MPID	226-229	X(4)	MPID of Firm sending Order to NYSE Broker System
MINIMUM TRADE SIZE	230-238	9(9)	Smallest size execution needed for this order to execute against
FILLER	239-245	X(7)	Spaces
INTRODUCING BROKER TAG 9448 (INTRODUCING BADGEID)	246-249	X(4)	Broker Badge that sent the order.
FILLER	250-256	X(7)	Spaces
END OF RECORD	257-257	X(1)	ETX = 1-byte end-of-text character

## MRO Record Type 1B – Orders with Miscellaneous Text

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**Record type 1B** Record type 1B shall be used for orders with miscellaneous text.  
 – Orders with  
 Lines 3F/4

Field Name		Position Start-End	Format (Length)	Field Value
COMMON FIELDS	RECORD TYPE	1-2	X(2)	1B = Order with Line 3F/4 information
	<i>Common Fields</i>	3-43	X(41)	<i>See structures described in Record Type 1A</i>
<i>Fields from position 44 to 245 are the same as Record Type 1A</i>		44-245	X(202)	<i>See structures described in Record Type 1A</i>
FILLER		246-260	X(15)	Spaces
LENGTH OF MISCELLANEOUS TEXT		261-263	9(3)	Variable length of the miscellaneous text that follows
MISCELLANEOUS TEXT		264-322	X(59)	<i>See formats below</i>
END OF RECORD		323-323	X(1)	ETX = 1-byte end-of-text character

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## MRO Record Type 1B – Orders with Miscellaneous Text, Continued

Field Name	Position Start-End	Format (Length)	Field Value
SLASHES	264-265	X(2)	“/ /”
INTRODUCING BROKER TAG 9448 (INTRODUCING BADGEID)	266-269	X(4)	Introducing Broker Badge ID
FILLER	270-270	X(1)	Spaces
BILL TO TAG 9449 (BILLTO)	271-274	X(4)	
LINE FEED	275-276	X(2)	LF LF
ENTERING FIRM TAG 115 (ONBEHALFOFCOMPID)	277-280	X(4)	Entering firm mnemonic
FILLER	281-281	X(1)	Spaces
CHILD ORDER BRANCH TAG 11 (CLORDID)	282-285	X(4)	Branch code for DOT orders from e-Broker
FILLER	286-286	X(1)	Spaces
CHILD ORDER SEQUENCE TAG 11 (CLORDID)	287-291	X(5)	Branch sequence for DOT orders from e-Broker
FILLER	292-292	X(1)	Spaces
PARENT ORDER TURNAROUND NUMBER 9452 (PARENT ORDER TA)	293-298	X(6)	The turnaround number of the parent order associated with this DOT order



## MRO Record Type 1B – Orders with Miscellaneous Text, Continued

FIELD NAME	Position Start-End	Format (Length)	Field Value
LINE FEED	299-300	X(2)	LF LF
FILLER	301-322	X(22)	Spaces
LINES3F/4 DATA	264-322	X(59)	<p>Line 3F data and/or Line 4 data, in two contiguous variable-length text fields, left justified and padded with spaces.</p> <ul style="list-style-type: none"> <li>• Line 3F data, when present, consist of two slashes (//), up to 25 data characters and two Line Feed characters (LFLF)</li> <li>• Line 4 data, when present, consist of up to 27 data characters and a single Line Feed character (LF)</li> </ul> <p>e.g., //data25LFLFdata27LF or //data25LFLF or data27LF</p>

## MRO Record Type 1C – e-Quote Order

**Record type 1C** Record type 1C shall be used for e-Quote orders.  
**– e-Quote  
 Order**

Field Name		Position Start-End	Format (Length)	Field Value
COMMON FIELDS	RECORD TYPE	1-2	X(2)	1C = e-Quote Order
	<i>Common Fields</i>	3-43	X(41)	<i>See structures described in Record Type 1A</i>
<i>Fields from position 44 to 202 are the same as Record Type 1A</i>		44-202	X(159)	<i>See structures described in Record Type 1A</i>
E-QUOTE INDICATOR		203-203	X(1)	2 – e-Quote without discretion or pegging 3 – G-Quote 4 – e-Quote with discretion and/or pegging
E-QUOTE TYPE <sup>1</sup> TAG 9478 (EQUOTE TYPE)		204-207	X(4)	EQAA = Simple e-Quote without discretion or pegging EQBB = Reserve e-Quote without discretion or pegging EQGA = Simple G-Order EQDA = Simple e-Quote with discretion and/or pegging EQDB = Reserve e-Quote with discretion and/or pegging EQCR = ( cross order - future use) SQDB = Simple or Reserve CCG sQuote with Pegging SQCC = Simple or Reserve CCS sQuote SQDC = Simple or Reserve CCS sQuote with Pegging SQDT = Simple or Reserve Tracking CCS (always pegging to PBBO)

*Continued on next page*

<sup>1</sup> The e-Quote Type is located in the same position as the Competing Designated Market Maker / Sponsoring Firm field in Record Type 1A.

**MRO Record Type 1C – e-Quote Order, Continued**

Field Name	Position Start-End	Format (Length)	Field Value
CEILING/FLOOR PRICE CODE TAG 9562 (CEILINGFLOORPRICE)	208-208	X(1)	0-9 – Number of decimal digit(s) in the Ceiling/Floor Price; zero if not present Badge MRO only
CEILING/FLOOR PRICE TAG 9562 (CEILINGFLOORPRICE)	209-220	X(12)	Highest price (for a buy) or lowest price (for a sell) to which the e-Quote may peg; zero if not present Badge MRO only
MINIMUM PEG QUANTITY TAG 9563 (MINIMUM PEGGING QUANTITY)	221-229	X(9)	Smallest size quote to which the e-Quote is willing to peg; zero if not present Badge MRO only
MAXIMUM PEG QUANTITY TAG 9564 (MAXIMUM PEGGING QUANTITY)	230-236	X(7)	Largest size quote to which the e-Quote is willing to peg; zero if not present Badge MRO only
FILLER	237-265	X(29)	Spaces
INTRODUCING BROKER <sup>2</sup> TAG 9448 (INTRODUCING BADGEID)	266-269	X(4)	Introducing Broker Badge ID
PEGGING INDICATOR TAG 9561 (PEGGING INDICATOR)	270-270	X(1)	Y = Pegged to the NYSE BBO N = Not pegged to the NYSE BBO Badge MRO only
BILL TO <sup>3</sup>	271-274	X(4)	Bill-to information
ALGO INDICATOR TAG 9449 (BILLTO)	275-275	X(1)	1 = Algo e-Quote

<sup>2</sup> Introducing Broker Badge appears in Record Type 1B for DOT orders from e-Broker.

<sup>3</sup> Bill-to field appears in Record Type 1B for DOT orders from e-Broker.

**MRO Record Type 1C – e-Quote Order**, Continued

FIELD NAME	Position Start-End	Format (Length)	Field Value
DISPLAY INDICATOR TAG 9479 (DISPLAYINDICATOR)	276-276	X(1)	Y = Display e-Quote N = Non-display e-Quote
FILLER	277-277	X(1)	Spaces
PUBLISH QUANTITY TAG 9480 (RESERVE PUBLISH QUANTITY)	278-286	9(9)	For reserve e-Quotes (see e-Quote type), the quantity that is published and included in the quote at the BBO
LAYER LINK ID TAG 9482 (LAYER LINK ID)	287-296	X(10)	For HHD e-Quotes and G-Quotes: Identifier that is associates all the price points (layers) of an e-Quote For manual e-Quote: Spaces
FILLER	297-297	X(1)	Spaces
E-QUOTE ID TAG 9481 (E-QUOTE ID)	298-307	X(10)	For HHD e-Quotes and G-Quotes: Identifier that is unique within broker badge for each e-Quote For manual e-Quote: Spaces
ALGO BRANCH/SEQUENCE TAG 11 (CLORDID) FIRST 9 BYTES OF THE RECORD	308-316	A(4) 9(5)	Branch and Sequence Number from the Algo e-Quote A(4) – Branch Alpha from Algo 9(5) – Sequence number assigned by Algo
PARENT TA	317-322	X(6)	System assigned Turnaround number of the parent order associated with this Algo e-Quote
FILLER	323-332	X(10)	Spaces
END OF RECORD	333-333	X(1)	<b>ETX</b> = 1-byte end-of-text character

## MRO Record Type 2A – Reports with 1 Contra

**Record type 2A** Record type 2A shall be used for reports with one contra, as planned on  
**– Reports with** December 6, 2000.  
**1 Contra**

Field Name		Position Start-End	Format (length)	Field Value
COMMON FIELDS	RECORD TYPE	1-2	X(2)	2A = Report with one contra
	<i>Common Fields</i>	3-24	X(22)	<i>See structures described in Record Type 1A</i>
FILLER		25-25	X (1)	Spaces
TURNAROUND NUMBER		26-31	X(6)	System assigned Turnaround number (e.g., AA9999 or 123456)
BRANCH SEQUENCE  TAG 11 (CIORDID) (FIRST 8 BYTES OF TAG 11)  FOR DOT PARTIAL ORDERS (1B), USE TAG 9451 (PARENT ORDER BRANCH CODE, SEQUENCE NUMBER AND DATE)		32-40	A(4)9(5)	BRANCH and BRANCH SEQUENCE NUMBER  A(4) – BRANCH alpha represents the Branch office that entered the order for the entering firm  9(5) – BRANCH SEQUENCE NUMBER is assigned by a branch office to each order transmitted to the NYSE
DESIGNATED MARKET MAKER UNIT		41-43	9(3)	Unit number of the Designated Market Maker for the Security Symbol
FILLER		44-52	X(9)	Internal Use
POSS DUPE  TAG 43 (POSSDUPFLAG)  OR  TAG 97 (POSSRESENDFLAG)		53-53	X(1)	1 = Poss Dupe  Otherwise 0 or Space

**MRO Record Type 2A – Reports with 1 Contra**, Continued

Field Name	Position Start-End	Format (length)	Field Value
BOOTH/BOOKED INDICATOR	54-54	X(1)	0 = Post 1 = Booth 2 = Booked
REPORT MESSAGE TIME TAG 60 (TRANSACTIONTIME)	55-60	9(6)	Time at which the report was sent: HHMMSS
(ERC) TYPE TAG 9425 (STATUSRESP)	61-61	X(1)	0 = Regular Execution Report 1 = Report Change for Execution Report; may include update to Memo A/B 2 = Price Correction for Execution Report 4 = Bust of Execution Report A = Report Change w/Price Correction for Exec. Report; may include update to Memo A/B  Note: ERC Types 0-4, A, and G may be used for Verbal Reports (identified by Contra 'VBL')
E-QUOTE EXECUTION TYPE	62-62	X(1)	0 – Executed without discretion or pegging 1 – Executed with discretion 2 – Executed with pegging 3 – Executed with discretion and pegging  Non-zero values on Badge MRO only
PRINCIPAL INDICATOR	63-63	X(1)	0 = non-Principal 1 = Principal
NO TAPE PRINT INDICATOR TAG 11450 (NOTAPEPRINTFLAG)	64-64	X(1)	Y = Trade was NOT printed to Tape Blank = Trade was printed to Tape
UNIT OF TRADE	65-65	X(1)	0 = 100 share unit 1 = 50 share unit 2 = 25 share unit 3 = 10 share unit 4 = 1 share unit
LEAVES QUANTITY TAG 151 (LEAVESQTY)	66-74	9(9)	Remaining unexecuted quantity of order
EXECUTING BROKER NUMBER TAG 76 (EXECBROKER)	75-78	9(4)	The badge number of the executing broker

**MRO Record Type 2A – Reports with 1 Contra**, Continued

<b>Field Name</b>	<b>Position Start-End</b>	<b>Format (length)</b>	<b>Field Value</b>
EXECUTION PRICE CODE	79-79	X(1)	0-9 – Number of decimal digit(s) in the Execution price
EXECUTION PRICE TAG 31 (LASTPX)	80-91	9(12)	Populated for all reports: Format is 9(12-n)9(n) where: n represents Execution Price Code value – denoting the number of decimal digit(s) in the Execution Price 9(12-n) represents dollar digits 9(n) represents the decimal digits e.g., 33.50 is represented as 000000003350 with Limit Price Code = 2
OMNIBUS CLEARING INDICATOR	92-92	9(1)	0 = N/A 1 = TOD 2 = LOC 3 = LMT 9 = CRS
BUST TIME TAG 60 (TRANSACTIONTIME)	93-98	X(6)	Time at which the report was busted: HHMMSS
EXPANDED ACTIVITY ID TAG 9579 (EXPERCREFERENCENUMBER)	99-108	X(10)	X(5) Reference number, connects all activity for non-verbal report ( taken from sequence number of original report)  X ( 5) Sequence number – starts at 00001 for the first activity and increases by 1 for each subsequent activity
ORIGINAL REPORT TIME	109-114	X(6)	For Execution Report Corrections (ERC), the time of the original report that was corrected: HHMMSS

## MRO Record Type 2A – Reports with 1 Contra, Continued

Field Name	Position Start-End	Format (length)	Field Value
LAST REPORT FLAG	115-115	X(1)	L = Last image for a corrected report
SOURCE OF REPORT	116-116	X(1)	1 = GTM 2 = Display Book 3 = BBSS 4 = SDBK 5 = PRIN to Crowd Report (AWO) 6 = PRIN to Away Market (AWO) 7 = Away Market (AWO) Name Change 8 = PRIN to OARS/MOC/Block (YB) Report (AWO) 9 = Hand-Held Report (Ink Indicator)
EXECUTION TYPE (NX INDICATOR) TAG 9430 (NYSEDIRECT+)	117-117	X(1)	0 = Not an automatic execution 1 = Automatic execution 4 = BBSS Auto-Generated Report Indicator
DESTINATION BOOTH ID TAG 143 (TARGETLOCATIONID)	118-120	X(3)	
ORIGINATING BOOTH ID TAG 143 (TARGETLOCATIONID)	121-123	X(3)	
OPENING TIME	124-129	X(6)	Opening time of the stock – HHMMSS (used for contra flag calculations)
OPENING TIME INDICATOR	130-130	X(1)	Indicates source of opening time: 0 – Default time (093500) was used 2 – OARS time was used
DISPLAY BOOK LINK ID TAG 9483 (DBKLINKID)	131-136	X(6)	Identifier that links all the reports in a trade
ORIGINAL ERC TYPE	137-137	X(1)	0 = Regular Execution Report 1 = Report Change for Execution Report; may include update to Memo A/B 2 = Price Correction for Execution Report 4 = Bust of Execution Report A = Report Change w/Price Correction for Exec. Report; may include update to Memo A/B



**MRO Record Type 2A – Reports with 1 Contra**, Continued

<b>Field Name</b>	<b>Position Start-End</b>	<b>Format (length)</b>	<b>Field Value</b>
CONTRA QUANTITY(1) TAG 437 (CONTRA TRADEQTY)	142-150	9(9)	Number of shares taken by the above Contra Firm
CONTRA BADGE(1) TAG 337 (CONTRA TRADER)	151-154	X(4)	Badge number of the broker of the contra firm; otherwise Spaces <sup>4</sup>
CONTRA WRITE-IN TIME(1) TAG 438 (CONTRA TRADETIME)	155-160	X(6)	Time at which the trade takes place, HHMMSS; otherwise Spaces

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<sup>4</sup> On the Badge MRO, the Contra Badge will be 0001 for e-Quotes.

**MRO Record Type 2A – Reports with 1 Contra**, Continued

Field Name	Position Start-End	Format (length)	Field Value
LIQUIDITY INDICATOR (1) TAG 9570 (EXECAWAYMKTID - ALPHA) OR TAG 9578 (BILLING INDICATOR - NUMERIC)	161-161	X(1)	B = Boston C = National D = NASD F = 3 <sup>rd</sup> Party Algo Executed NYSE (future use) G = 3 <sup>rd</sup> Party Algo Executed AWAY (future use) I = ISE J = EDGA (future use) K -= EDGX (future use) M = Chicago P = Arca T = Nasdaq W = CBOE X = Philadelphia Y = BATS (future use) Z = BATS N = New York (executed from NYSE MatchPoint) Blank = N/A 1 = TAKER 2 = PROVIDER 3 = BLENDED 4 = OPENING PRIOR DAY 5 = OPENING 6 = CLOSING 7 = CLOSING MOC/LOC 8 = RETAIL PROVIDER 9 = RETAIL TAKER
VENDOR DESTINATION	162-163	X(2)	MP = MatchPoint

**MRO Record Type 2A – Reports with 1 Contra**, Continued

Field Name	Position Start-End	Format (length)	Field Value
DISPLAYED LIQUIDITY INDICATOR	164-164	X (1)	<p>0 = 0 round lots</p> <p>1 = Greater than 0 and less than 1 round lot (0-99 shares)</p> <p>2 = From 1 to less than 20 round lots (100-1,999 shares)</p> <p>3 = From 20 to less than 50 round lots (2,000-4,999 shares)</p> <p>4 = From 50 round lots to less than 100 round lots (5,000-9,999 shares)</p> <p>5 = From 100 round lots to less than 200 round lots (10,000 shares-19,999)</p> <p>6 = From 200 round lots and up (20,000 + shares)</p> <p>Note: 7-9 reserved for future use</p>
FILLER	165-183	X(19)	Spaces
END OF RECORD	184-184	X(1)	<b>ETX</b> = 1-byte end-of-text character

## MRO Record Type 3A – Admin Responses

**Record type 3A** Record type 3A shall be used for admin response messages.  
 – Admin  
 Responses

Field Name		Position Start-End	Format (length)	Field Value
COMMON FIELDS	RECORD TYPE	1-2	X(2)	3A = Admin Response
	<i>Common Fields</i> <sup>5</sup>	3-43	X(41)	<i>See structures described in Record Type 1A</i>
FILLER		44-52	X(9)	Internal Use
POSS DUPE TAG 43 (POSSDUPFLAG) OR TAG 97 (POSSRESENDFLAG)		53-53	X(1)	1 = Poss Dupe Otherwise 0 or Space
BOOTH/BOOKED INDICATOR		54-54	X(1)	0 = Post 1 = Booth 2 = Booked
RESPONSE TIME TAG 60 (TRANSACTIONTIME)		55-60	9(6)	Time at which an Admin Response was sent: HHMMSS
ADMIN PRICE CODE		61-61	X(1)	0-9 = number of decimal digit(s) in the Admin Price  Note: This is an obsolete value. Save for future use.

<sup>5</sup> For Designated Market Maker records on the Clearing Firm MRO, Entering Firm (positions 3-6) and Clearing number (positions 7-10) will be set to LMT and 0789, respectively, for e-Quotes.

**MRO Record Type 3A – Admin Responses, Continued**

<b>Field Name</b>	<b>Position Start-End</b>	<b>Format (length)</b>	<b>Field Value</b>
ADMIN PRICE TAG 44 (PRICE)	62-73	9(12)	<p>Populated for selected Admin Responses, e.g., Admin Types 3 and 4</p> <p>Format is 9(12-n)9(n) where:  n represents the Admin Price Code value– denoting the number of decimal digit(s) in the Admin Price  9(12-n) represents the dollar digits  9(n) represents the decimal digits</p> <p>e.g., 33.50 is represented as  000000003350 with Admin Price Code = 2</p> <p>Note: This is an obsolete value. Save for future use.</p>
ADMIN TYPE TAG 58 (TEXT)	74-74	X(1)	<p>1 = UR OUT  9 = DELETE  A = AUTO CXL  C = HELD PENDING PRICE CONFIRM  E = e-Broker  L = Part of e-Quote/ Removed from e-Quote</p>

## MRO Record Type 3A – Admin Responses Continued

Field Name	Position Start-End	Format (length)	Field Value
ADMIN SUBTYPE	75-75	X(1)	<p>For ADMIN TYPE 1</p> <ul style="list-style-type: none"> <li>1 = Done for Day</li> <li>2 = Disconnect</li> <li>3 = Stock Frozen</li> <li>4 = Self Trade Prevented</li> </ul> <p>For ADMIN TYPE = E</p> <ul style="list-style-type: none"> <li>1 = Order accepted</li> <li>2 = Order rejected</li> <li>3 = Order called back</li> <li>4 = Cancel request confirmed</li> <li>5 = Cancel replace request confirmed</li> <li>6 = Replacement order accepted</li> <li>7 = Makes accepted</li> </ul> <p>For ADMIN TYPE = E (Badge MRO only)</p> <ul style="list-style-type: none"> <li>8 = Order sent</li> <li>A = Sent DOT (book)</li> <li>L = Nothing done</li> <li>O = Cancel confirmed</li> <li>P = Sent OPG</li> <li>Q = Sent e-Quote</li> <li>R = Algo Order Accepted</li> <li>S = Algo Confirm Cancel</li> <li>T = Algo Confirm Cancel/Replace</li> </ul> <p>For ADMIN TYPE = L (Badge MRO only)</p> <ul style="list-style-type: none"> <li>C = Underlying order currently in e-Quote</li> <li>R = Underlying order removed from e-Quote</li> </ul>

*Continued on next page*

**MRO Record Type 3A – Admin Responses Continued**

<b>Field Name</b>	<b>Position Start-End</b>	<b>Format (length)</b>	<b>Field Value</b>
ADMIN QUANTITY	76-84	9(9)	Shares associated with an Admin (Shares Ahead, Cancel Quantity, )
FILLER	85-90	X(6)	Internal Use
E-BROKER DEVICE NUMBER (BROKER BADGE) TAG 76 (EXECBROKER)	91-94	9(4)	e-Broker Device (broker's badge number)
EXPANDED RESPONSE TIME	95-104	9(10)	HHMMSSttttt – admin response time in hours, minutes seconds and ten-thousandths of seconds  Populated for election messages and tick filing/re-filing messages
BROKER ALGO	105-120	X(16)	Broker Algo vendor
E-QUOTE ID TAG 9481 (E-QUOTE ID)	121-130	X(10)	Unique identifier for an e-Quote within Broker Badge (Badge MRO only)  Present on the following admin types: <ul style="list-style-type: none"> <li>• Type E with subtype P – Sent e-Quote message</li> <li>• Type L – Part of e-Quote / Removed from e-Quote message</li> </ul>
FILLER	131-135	X(5)	Spaces
EXPANDED ACTIVITY ID TAG 9579 (EXPERCREFERENCENUMBER)	136-145	X(10)	X(5) Reference number, connects all activity for non-verbal report( taken from sequence number of original report)  X ( 5) Sequence number – starts at 00001 for the first activity and increases by 1 for each subsequent activity
ALGO STRATEGY	146-161	X(16)	Broker Algo strategy
FILLER	162-164	X(3)	Spaces

## MRO Record Type 3A – Admin Responses Continued

Field Name		Position Start-End	Format (length)	Field Value
CANCEL ORDER STATUS		165-165	X(1)	X – Admin contains cancel order data C – Admin contains cancel/replace order data Space – Admin without cancel or cancel/replace order data
For admins with cancel or cancel/replace order data	CANCEL BRANCH SEQUENCE	166-174	X(9)	Firm assigned Branch Sequence (e.g., AAAA99999) of the cancel or cancel/replace order
	FILLER	175-178	X(4)	Spaces
	CANCEL TURNAROUND NUMBER	179-184	X(6)	System assigned Turnaround number (e.g., AA9999 or 123456) of the cancel/replace order
	CANCEL ORDER TIME	185-194	X(10)	Time (HHMMSSSttt) of the cancel or cancel/replace order in hours, minutes seconds and ten-thousandths of seconds
	CANCEL ORDER QUANTITY TAG 9429 (CMSLEAVESQTY) TAG 9428 (CXLQTY) – ONLY ON DOT CANCELS	195-203	9(9)	Quantity on the cancel or cancel replace/order (right-justified and zero-filled, when populated)
FILLER		204-223	X(20)	Spaces
END OF RECORD		224-224	X(1)	ETX = 1-byte end-of-text character



## MRO Record Type 3B – e-Quote Link Message

**Record type 3B** Record type 3B shall be used for e-Quote link messages.  
**– e-Quote Link** There shall be one message for each underlying order in each e-Quote.  
**Message** Link messages appear only on the Badge MRO file.

Field Name		Position Start-End	Format (length)	Field Value
COMMON FIELDS	RECORD TYPE	1-2	X(2)	3B = e-Quote Link Message
	<i>Common Fields</i>	3-43	X(41)	<i>See structures described in Record Type IA</i>
FILLER		44-52	X(9)	Internal Use
POSS DUPE TAG 43 (POSSDUPFLAG) OR TAG 97 (POSSRESENDFLAG)		53-53	X(1)	1 = Poss Dupe Otherwise 0 or Space
BOOTH/BOOKED INDICATOR		54-54	X(1)	0 = Post 1 = Booth 2 = Booked
LINK TIME		55-60	9(6)	Link time, truncated to HHMMSS
ADMIN PRICE CODE		61-61	X(1)	0-9 = number of decimal digit(s) in the Admin Price
ADMIN PRICE TAG 44 (PRICE)		62-73	9(12)	Populated for selected Admin Responses, e.g., Admin Types 3 and 4 Format is 9(12-n)9(n) where: n represents the Admin Price Code value – denoting the number of decimal digit(s) in the Admin Price 9(12-n) represents the dollar digits 9(n) represents the decimal digits e.g., 33.50 is represented as 000000003350 with Admin Price Code = 2
ADMIN TYPE		74-74	X(1)	K = e-Quote Link message

**MRO Record Type 3B – e-Quote Link Message, Continued**

Field Name	Position Start-End	Format (length)	Field Value
ADMIN SUBTYPE	75-75	X(1)	Disposition code: C = Underlying order is currently in e-Quote R = Underlying order removed from e-Quote
EQUOTE ORDER QUANTITY	76-84	9(9)	Shares associated with an Admin (Shares Ahead, Cancel Quantity, )
FILLER	85-90	X(6)	Spaces
BROKER BADGE TAG143 (TARGETLOCATIONID)	91-94	X(4)	Introducing broker badge
EXPANDED LINK TIME	95-104	9(10)	Link Message time in hours, minutes, seconds and ten thousandths of seconds – HHMMSStttt
LAYER LINK ID TAG 9482 (LAYERLINKID)	105-114	X(10)	Identifier that associates all the price points (layers) of an e-Quote
FILLER	115-120	X(6)	Spaces
E-QUOTE ID TAG 9481 (E-QUOTE ID)	121-130	X(10)	e-Quote identifier, unique within Broker Badge
UNDERLYING ORDER SEQUENCE NUMBER TAG 9451 (PARENT ORDER BRANCH CODE, SEQUENCE NUMBER AND DATE)	131-133	9(3)	Sequence of this underlying order in the link message
TOTAL UNDERLYING ORDERS	134-136	9(3)	Total number of underlying orders n the link message
ORDER LINK ID	137-149	X(13)	TA or Order ID of the underlying order (left-justified, blank padded)
UNDERLYING ORDER SOURCE	150-150	X(1)	B = BBSS P = Proprietary OMS
UNDERLYING FIRM TAG 9453 (PARENTFIRM)	151-154	X(4)	Mnemonic for the firm that entered the underlying order
FILLER	155-167	X(13)	Spaces

## MRO Record Type 3B – e-Quote Link Message, Continued

Field Name	Position Start-End	Format (length)	Field Value
END OF RECORD	168-168	X(1)	ETX = 1-byte end-of-text character

## MRO Record Type 3C – e-Quote Order Extension

**Record type 3C** Record type 3C shall be used for discretionary data for e-Quote orders.  
**– e-Quote**  
**Order** Badge MRO only  
**Extension**

Field Name	Position Start-End	Format (Length)	Field Value	
<b>COMMON FIELDS</b>	RECORD TYPE	1-2	X(2)	3C = e-Quote Order Message Extension
	<i>Common Fields</i>	3-43	X(41)	<i>See structures described in Record Type 1A</i>
<i>Fields from position 44 to 60 are the same as Record Type 1A</i>		44-60	X(17)	<i>See structures described in Record Type 1A, except 44-52 is internal use</i>
DISCRETIONARY PRICE RANGE CODE	61-61	9(1)	0-9 – Number of decimal digit(s) in the Discretionary Price Range	
DISCRETIONARY PRICE RANGE TAG 9565 (DISCRETIONARY PRICE RANGE)	62-73	9(12)	Maximum discretion that may be used above (for a buy) or below (for a sell) a discretionary e-Quote's filed price (capped by the ceiling/floor price, when non-zero)	
FILLER	74-75	X(2)	Spaces	
OPPOSITE SIDE MINIMUM SIZE TAG 9568 (OPPOSITE SIDE MINIMUM VOLUME)	76-84	9(9)	Smallest size the discretionary e-Quote is willing to trade against with discretion; zero if not present	
OPPOSITE SIDE MAXIMUM SIZE TAG 9569 (OPPOSITE SIDE MAXIMUM VOLUME)	85-91	9(7)	Largest size the discretionary e-Quote is willing to trade against with discretion; zero if not present	

**MRO Record Type 3C – e-Quote Order Extension, continued**

<b>Field Name</b>	<b>Position Start-End</b>	<b>Format (Length)</b>	<b>Field Value</b>
MAXIMUM DISCRETIONARY VOLUME TAG 9566 (DISCRETIONARY MAX VOLUME)	92-100	9(9)	Total amount of volume e-Quote is willing to trade with pricing discretion over the life of the order
ITS ALL INDICATOR TAG 9567 (ITS ALL INDICATOR)	101-101	X(1)	Y = Discretion may be used in away markets N = Discretion may be used in away markets only to facilitate a trade at the NYSE
MINIMUM TRADE SIZE	102-110	9(9)	Minimum quantity that must be guaranteed for d-Quote to trade with discretion
FILLER	111-213	X(103)	Spaces
END-OF-RECORD INDICATOR	214-214	X(1)	ETX = 1-byte end-of-text character

## MRO Record Type 4A – Broker Risk Management (Badge MRO Only)

**Record type 4A – Broker Risk Management** Record type 4A shall be used for start of day risk limit parameters as well as reference prices and indications of any breaches of limits. Risk messages will be added to the Response Total in the Trailer Record

Badge MRO only

Field Name	Position Start-End	Format (Length)	Field Value
Record Type	1-2	X(2)	4A = Broker Risk Message
Mnemonic	3-6	X(4)	Entering Firm Mnemonic
Time	7-12	9(6)	HHMMSS
Status	13-18	X(6)	SODCRR – Start of Day Credit Risk SODORD – Start of Day Order Quantities UPDCRR – Update to Credit Risk UPDORD – Update to Order Quantities ADDCRR – Add Credit Risk (Intraday) DELCRR – Delete Credit Risk BREACH – Breach of a Risk Parameter PRXADD – Reference Price added by Broker
Credit Risk or PRICE	19-31	9(13)	Dollar Amount of Credit Risk for mnemonic or Reference Price on a PRXADD message
ORDVOL	32-44	9(13)	Dollar Amount of Single Order
ORDQTY	45-52	9(8)	Share Amount of Single Order
Price Deviation	53-55	9(3)	Dollar limit away from last sale
Filler	56	9(1)	Spaces
Symbol	57-67	X(11)	Security Symbol, space between base and suffix, no special characters)
Branch/Sequence	68-76	A(4) 9(5)	Branch Sequence of Order that caused a BREACH (on BREACH Status messages only)
Parent TA	77-82	X(6)	Turnaround Number of Parent of Order that caused a BREACH (on BREACH Status Messages only)
Parent Branch/Sequence	83-91	A(4) 9(5)	Branch Sequence of Parent of Order that caused a BREACH (on BREACH Status messages only)
Miscellaneous Text	92-141	X(50)	Miscellaneous Text – May contain what values were breached on a BREACH message

**MRO Record Type 4A – Broker Risk Management (Badge MRO Only), continued**

<b>Field Name</b>	<b>Position Start-End</b>	<b>Format (Length)</b>	<b>Field Value</b>
Filler	142-150	X(9)	Spaces
End of Record	151	X(1)	ETX = 1-byte end-of-text character

## MRO Header Record

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**Header Record** – All MROs    The following header record shall be at the beginning of each transmission for all MRO products.

Field Name	Position Start-End	Format (length)	Field Value
HEADER IDENTIFIER	1-1	X(1)	“H”
DATE	2-9	X(8)	For the <i>Clearing Firm MRO</i> and <i>Entering Firm MRO</i> – MMDDCCYY For the <i>BBSS Agency ID MRO</i> and <i>Badge MRO</i> – CCYYMMDD
FILLER	10-10	X(1)	Space
HEADER TITLE	11-37	X(27)	For the <i>Clearing Firm MRO</i> : “2000 MRGED ORDER LOG START” For the <i>Entering Firm MRO</i> : “2000 BROKER MRO START” For the <i>BBSS Agency ID MRO</i> : “BOOTH AGENCY MRO – START” For the <i>Badge MRO</i> : “BADGE MRO – START ----”
FILLER	38-74	X(37)	Spaces
HEADER KEY FIELD	75-78	X(4)	For the <i>Clearing Firm MRO</i> and <i>Entering Firm MRO</i> : Entering Firm’s clearing number For the <i>BBSS Agency ID MRO</i> : Agency ID For the <i>Badge MRO</i> : Broker’s Badge Number
END OF RECORD	79-79	X(1)	ETX = 1-byte end-of-text character
FILLER	80-4096	X(4017)	Spaces

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## MRO Trailer Records

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**Trailer Record – Clearing Firm and Entering Firm MROs**      The following trailer record shall be at the end of each transmission for Clearing Firm and Entering Firm MROs.

Field Name	Position Start-End	Format (length)	Field Value
TRAILER IDENTIFIER	1-1	X(1)	“T”
DATE	2-9	X(8)	MMDDCCYY
FILLER	10	X(1)	Space
TRAILER TITLE	11-37	X(27)	For the <i>Clearing Firm MRO</i> : “2000 MRGED ORDER LOG END” For the <i>Entering Firm MRO</i> : “2000 BROKER MRO END”
FILLER	38-74	X(37)	Spaces
TRAILER KEY FIELD	75-78	X(4)	Entering Firm’s clearing number
FILLER	79-79	X(1)	Space
ORDER TOTAL	80-87	9(8)	Total number of orders on this file
FILLER	88-88	X(1)	Space
REPORT TOTAL	89-96	9(8)	Total number of reports on this file
FILLER	97-97	X(1)	Space
RESPONSE TOTAL	98-105	9(8)	Total number of responses on this file
FILLER	106-106	X(1)	Space
OTHER TOTAL	107-114	9(8)	Total number of rejects and/or freeze records on this file
FILLER	115-115	X(1)	Space
RECORD TOTAL	116-125	9(10)	Total number of records on this file
FILLER	126-126	X(1)	Space
END OF RECORD	127-127	X(1)	ETX = 1-byte end-of-text character
FILLER	128-4096	X(3969)	Spaces

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## MRO Trailer Records MRO Trailer Records, Continued

**Trailer Record** The following trailer record shall be at the end of each transmission for the  
**– BBSS Agency ID and Badge MROs** BBSS Agency ID and Badge MROs.

Field Name	Position Start-End	Format (length)	Field Value
TRAILER IDENTIFIER	1-1	X(1)	“T”
DATE	2-9	X(8)	MMDDCCYY
FILLER	10-10	X(1)	Space
TRAILER TITLE	11-37	X(27)	For the <b>BBSS Agency ID MRO</b> : “BOOTH AGENCY MRO – END” For the <b>Badge MRO</b> : “BADGE MRO - ---END----”
FILLER	38-74	X(37)	Spaces
TRAILER KEY FIELD	75-78	X(4)	For the <b>BBSS Agency ID MRO</b> : Booth Agency ID For the <b>Badge MRO</b> : Broker’s Badge Number
FILLER	79-79	X(1)	Space
ORDER TOTAL	80-87	9(8)	Total number of orders on this file
FILLER	88-88	X(1)	Space
REPORT TOTAL	89-96	9(8)	Total number of reports on this file
FILLER	97-97	X(1)	Space
RESPONSE TOTAL	98-105	9(8)	Total number of responses on this file
FILLER	106-106	X(1)	Space
RECORD TOTAL	107-116	9(10)	Total number of records on this file
FILLER	117-117	X(1)	Space
END OF RECORD	118-118	X(1)	ETX = 1-byte end-of-text character
FILLER	119-4096	X(3978)	Spaces