NEAT Registrant Data Request Template

SEC Field Name	Registrant Column Name		Data Type	Field Description	Examples	Notes
Trade Blotter						
Account ID			Text	Unique Account Identifier	JKH324JLK234, 23498236, RSmith	**These accounts should be align**ed **to the accounts in the initial position blotter (i.e., there should not be different account identifiers which represent the same account.)**
Trade Date			Date	yyyy-mm-dd or mm-dd-yyyy	2012-04-15	ISO Standard 8601
Trade Side			Text	Transaction trade direction	Buy long, Sell Long, Sell Short, Cover Short, Expire, Assign, Exercise, Cancelled Trade	"BL" for Buy Long, "CS" for Cover Short, "SL" for Sell Long, "SS" for Sell Short. (Please provide attachment for all other abbreviation codes)
Trade Identifier			Text	Unique Transaction Identifier		Required for NEAT to remove cancelled trades from the Blotter
Quantity			Long (or Float)	Equities - Trade Quantity Fixed Income - Number of Bonds Options - Number of Contracts	Equity - 1,000 Fixed Income - 1,000	Provide actual quantity traded. Do not adjust quantity for subsequent corporate actions i.e. (reverse) stock splits and stock dividends. **Should be positive or 0.**
Price			Float	Execution Price	Equity - $124.75 Fixed Income - $98.75	Provide actual trade price. Do not adjust price for subsequent corporate actions i.e. (reverse) stock splits and stock dividends. Prices should be in local currency units for non-USD trades.
Cash Value of Transaction			Float	Amount Paid for Transaction	Equity - $124,750 Fixed Income - $987.50	Provide Cash Value for non-US trades in local currency. Cash Value = Price x Quantity x Multiplier, where multiplier varies according to security type e.g. $Multiplier_{Equity}=1$, $Multiplier_{Fixed\_Income}=0.01$
Currency			Text	Currency Trade Price is denominated in	USD, EUR, JPY, GBP	ISO 4217
Total Commissions	.		Float	Compensation Paid to Broker to Execute Trade **Total, not per-share**		Provide commissions in local currency units for the trades that were done in non-USD currencies. Commission always a positive number or 0.
Total Fees			Float	Any Fee Associated with Trade Total, not per-share.		Provide fees in local currency units for the trades that were done in non-USD currencies. Fee is always a positive number or 0.
Broker Firm			Text	Broker Completing Trade	JPMS, GSCO	
Symbol		AT LEAST TWO	Text	Exchange Symbol for Instrument Traded	AAPL, IBM, INTC, MSFT, JNJ, DIS	Registrant should provide at least two security identifiers
CUSIP			Text	9 alpha/numeric characters, identifies company or issuer and financial instrument type	37833100	
ISIN			Text	12 alpha/numeric characters, International Securities Identification Number	BRAAPLBDR004	
SEDOL			Text	7 alpha/numeric characters	B8TGCL9	
Security Type			Text	Asset class or the type of the instrument	Equity, Fixed Income, Option, Future	For multi-asset class trade blotters, please indicate asset classes.
Multiplier			Float	Effective multiplier to derive the correct cash value	$Multiplier_{Equity} = 1$, $Multiplier_{Fixed\_Income} = 0.01$, $Multiplier_{Option} = 100$, etc.	Value of the trade = Price x Quantity x **Multiplier**
Registered Rep CRD			Text	Central Registry Depository (CRD) number of the registered representative, where applicable		
If Available. Please Provide						

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Account Description or Name			Short Account Description	Robert Smith Retirement Account	
Symbol Description		Text	Description of Security	Apple, SPRD Gold Trust (ETF)	
Trade Time		Time	24-hour Time Format	22:56:14.267	Highest precision available as HH:MM:SS.000
Net Cash Value		Float	Total amount paid or received in trade, adjusted for fees and commissions		Provide Net Cash Value in local currency for the trades that were done in non-USD currencies. Net Cash Value$_{Purchase}$ =Gross Notional + (Fees + Commissions) Net Cash Value$_{Sale}$ =Gross Notional - (Fees + Commissions)
Trader		Text	Name of trader transacting trade		
Strategy		Text	The strategy under which a trade was transacted	Macro Discretionary, Quantitative Equity	