

## Velox Clearing Trade Confirm Codes

**Acct Type** – A single digit number indicating the type of account.

- 1 Cash account
- 2 Margin account
- 3 Short account
- 5 Futures
- 6 Repos and fed funds
- 7 Non-purpose loan

**Equity Trade**- B/S field character indicators

- 1. B/S = B, account type = 1 or 2, Buy
- 2. B/S = B, account type = 3 Buy Cover
- 3. B/S = S, account type = 1 or 2, Sell
- 4. B/S = S, account type = 3, Short Sell
- 5. B/S = C, account type = 1 or 2, Cancel Buy
- 6. B/S = C, account type = 3, Cancel Buy Cover
- 7. B/S = T, account type = 1 or 2, Cancel Sell
- 8. B/S = T, account type = 3, Cancel Short Sell

**Mkt/Cap/Leg** – A three-digit combination of market, capacity and legend code.

### **Market codes**

- 1 New York Stock Exchange
- 2 American Stock Exchange
- 3, 4 B/D defined optional exchanges
- 5 Chicago Board Options Exchange (CBOE) options
- 6-9 B/D defined optional exchanges
- A-F B/D defined optional exchanges
- G Government Securities Clearing Corporation (GSCC)
- H-L B/D defined optional exchanges
- N National Securities Clearing Corporation (NSCC)
- O Over the counter (OTC)
- Q B/D defined optional exchange
- R NASDAQ
- S, T B/D defined optional exchanges
- V B/D defined optional exchange

### **Capacity codes**

- 1 As agent.
- 2 As principal, not a market maker.
- 4 As agent for both buyer and seller.
- 5 GTC order. Produces a confirm with today's trade date, no settlement date, and the trailer CONFIRMATION OF OPEN ORDER. Appears on the customer activity the day the order is entered and is deleted that night.
- 6 As principal market maker.
- 7 Reversal of commission, as agent. Reverses the front and back commissions. A broker/dealer must be entered on the front side.
- 9 As principal on the floor.
- A Third-market trade.

- C As agent trading in money market securities. Reflects trades run as agent for the issuer.
- D As agent trading in money market securities. Reflects dealer placement trades run as agent. Used when a customer account buys from an inventory account.
- I As agent trading in money market securities. Reflects dealer placement trades run as agent. Used when an inventory account buys from a customer account.
- P Primary bankers acceptance trading. Reflects principal trades involving customer participation in specific acceptances. The system automatically allocates loan numbers from an inventory on a first in, first out (FIFO) basis.

**Legend codes**

- 0 Discretionary Account
- 1 Ex Dividend
- 2 With Dividend
- 3 Unsolicited Order
- 4 To Cover Short
- 5 Prospectus Enclosed
- 6 Odd Lot Differential Charged
- 7 Ex Rights
- 8 With Rights
- 9 Opening Position
- A Closing Position
- B Exercise of Option
- C Opening Position Covered
- D Prospectus Mailed Separately
- E When Distributed
- F Coupon Books
- G We Make a Market in This Issue
- H Fully Registered
- I Discretion Exercised
- J Discretion Not Exercised
- K Option Assignment
- M Customer Directed Order
- P Employee Stock Option
- Q Investment Banking
- R Broker/Dealer Order
- S Solicited Order
- T Short Sale
- U We Make a Market – Solicited
- V Customer Cross
- W We Make a Market – Unsolicited