

Grand Total Algorithm – when the firm's Stock Record data is split across multiple Stock Record files, indicate how the firm provides the Grand Total on each XML file.

Populate the template with one of the two below methods.

SUM – The Grand Totals in the individual SR files sum to the true Grand Total for the complete SR. Either:

- a. The Grand Total reflects the total of each SR file **individually**, where the **sum** of the Grand Totals across all the SR files reflects the true Grand Total for the complete SR;
OR
- b. The Grand Total is included in **only one** SR file, where the Grand Total in all other files is zero; again, the **sum** of the Grand Totals across all the SR files reflects the true Grand Total for the complete SR.

EVERY – Each and **every** SR file contains the same Grand Total number, and that Grand Total number reflects the true Grand Total across all the SR files.

Debt Pricing Method – indicate how the firm derives the market value of debt securities: with no calculation or by dividing the market value or price by 100. The method used should be applied consistently for Security Types 1-10 and anywhere debt securities are reported.

Populate the template with one of the following three possible values:

NONE – no calculation is performed by the firm in deriving the market value of debt securities.

MV/100 – the firm divides the **market value** by 100 in deriving the market value of debt securities.

Price/100 – the firm divides the **price** by 100 in deriving the market value of debt securities.