

FINRA ADDS[®]
FINRA Automated Data Delivery
System[®]
User Guide

Table of Contents

Overview	4
Access	4
Enrollment.....	5
Standard Access Enrollment.....	5
TRACE Data Delivery Plus Enrollment.....	5
TRACE Data Delivery SFTP Enrollment.....	5
ADF Data Delivery Plus Enrollment.....	6
ADF Data Delivery SFTP Enrollment.....	6
Access Data on the FINRA ADDS Website.....	7
File Availability.....	7
Request Files	7
Subscribe to Daily Delivery of Files	8
Review and Download Files.....	8
File Status	8
One-Time PINs	8
File Expiration.....	9
File Deletion.....	9
Access Data via SFTP.....	9
SFTP Set-Up Process.....	9
SFTP Data Delivery	10
File Format.....	10
TRACE Trades File.....	10
TRACE Rejects File.....	13
ADF Trades File	15
ADF Rejects File.....	19
Fees.....	20
TRACE Data Delivery Plus	20
TRACE Data Delivery SFTP	21
ADF Data Delivery Plus	21
ADF Data Delivery SFTP	21
Expected File Delivery and Support	21
Availability of Daily Files	21
Support.....	22
Troubleshooting.....	22
Access Denied Message	22

Unable to Connect via SFTP	22
Contact FINRA	22

Overview

FINRA's Automated Data Delivery Service (FINRA ADDS) is a secure website through which firms can request transaction data submitted to TRACE and/or to the Alternate Display Facility (ADF) through the TRACS system. Firms may use the data to help monitor their trading and reporting activity and support compliance procedures.

Access

FINRA ADDS offers several types of access:

TRACE Trade Journal Access

Standard Access:

Users with standard access to TRACE Trade Journals (fixed income trade reports) can request data files that include their transaction reports and rejects for a date, for up to a 30-day calendar period. There is no fee for Standard Access.

Optional Services:

- **TRACE Data Delivery Plus** is an *optional, fee-based* service that provides greater access to the TRACE trade journal files. With TRACE Data Delivery Plus, a subscriber can request trade journal files containing transactions or rejects for dates prior to the most recent 30 calendar days. (Data is limited to dates within the past 24 months and submitted to the current TRACE platform. Legacy TRACE transactions are not available on FINRA ADDS.) Users with TRACE Data Delivery Plus access may also subscribe to automated daily delivery of their TRACE trade journals to the FINRA ADDS website, eliminating the need to submit daily requests.
- **TRACE Data Delivery SFTP** is an *optional, fee-based* service that allows firms to establish an automated interface to retrieve their data via Secure File Transfer Protocol (SFTP). On a daily basis, FINRA makes the prior day's transaction and reject files available for SFTP retrieval for all firms that subscribe to this service.

ADF Trade Journal Access

Standard Access:

Users with standard access to ADF Trade Journals (trade reports for listed security transactions submitted to the ADF) can request data files that include transaction reports for a date up to three business days prior to the trade report date.

Optional Services:

- **ADF Data Delivery Plus** is an *optional, fee-based* service that provides greater access to the ADF trade journal files. Firms that subscribe to ADF Data Delivery Plus can request trade journal files containing transactions or rejects for dates prior to the most recent 3 business days. (Data is limited to trade reports submitted to ADF within the past 24 months.) Users with ADF Data Delivery Plus access may also subscribe to automated daily delivery of their ADF trade journals to the FINRA ADDS website, eliminating the need to submit daily requests.
- **ADF Data Delivery SFTP** is an *optional, fee-based* service that allows firms to establish an automated interface to retrieve their data via Secure File Transfer Protocol (SFTP). On a daily basis, FINRA makes the prior day's transaction and reject files available for SFTP retrieval for all firms that subscribe to this service.

Enrollment

Standard Access Enrollment

Standard access to the FINRA ADDS website is available to firms for free. Firms gain access via the [FINRA Entitlement Program](#).

To log into the FINRA ADDS website and download the most recent 30 calendar days of TRACE data or 3 business days of ADF data, you need the following:

- a FINRA Entitlement Program user ID and password,
- at least one MPID in the FINRA Information section of your FINRA Entitlement user account:
 - for TRACE trade journals, one or more TRACE MPIDs, and/or
 - for ADF trade journals, one or more Equity MPIDs.
- access to the appropriate Trade Journals privilege (TRACE Trade Journals and/or ADF Trade Journals) under FINRA Data Delivery in the FINRA Entitlement System.

Your firm's Super Account Administrator (SAA) can give you the TRACE Trade Journals privilege and access to your firm's MPID(s). Contact your firm's SAA for assistance. Once access is granted, log into [FINRA ADDS](#) to request and access your firm's TRACE data.

To identify your firm's SAA: log into the [FINRA Firm Gateway](#), click on **My Account** and view the information on the **Applications & Administrators** tab or call the FINRA Gateway Call Center at (800) 321-6273.

TRACE Data Delivery Plus Enrollment

TRACE Data Delivery Plus access provides users the ability to request and download transaction data for dates prior to the most recent 30 calendar days on demand, for any date within the prior two years (assuming the data was submitted to the current TRACE platform; legacy TRACE transactions are not available via FINRA ADDS). Users can also subscribe to have their daily data made available on the website each day automatically.

Enrollment in TRACE Data Delivery Plus is **optional**, and requires the firm to submit a FINRA ADDS Optional Services Request Form. A link to the form can be found at www.finra.org/datadelivery.

Note: Firms that enroll in TRACE Data Delivery Plus are assessed a monthly fee for each MPID enrolled in the service(s). FINRA will assess the fee in the firm's monthly TRACE bill. While TRACE Data Delivery Plus fees are assessed per MPID, rather than per user, fees are based on the number of "Plus" reports (transaction and/or reject files for dates older than the most recent 30 days) received by users at the firm during the month.

Fee information is available at www.finra.org/datadelivery/fees.

Within 3 business days of receipt of a properly completed Request Form, FINRA will enroll the submitted MPID(s) in TRACE Data Delivery Plus and grant the firm's Super Account Administrator (SAA) administrator rights to the Data Delivery Plus entitlement privilege. The SAA may then give the Data Delivery Plus privilege to any users at the firm who need access to the data. Users with Data Delivery Plus access must also have at least one enrolled MPID on their accounts to use the service.

TRACE Data Delivery SFTP Enrollment

TRACE Data Delivery SFTP enables firms to establish an automated interface to retrieve their data via Secure File Transfer Protocol (SFTP).

Enrollment in TRACE Data Delivery SFTP is **optional**, and requires the firm to submit a FINRA ADDS Optional Services Request Form to establish a dedicated FTP user account. A link to the form can be found at www.finra.org/datadelivery. The FTP account will only be able to access data made available for SFTP access; the firm will not be able to use the FTP user's ID and password to log into <https://datadelivery.finra.org>. Since FTP users are intended for automated access, their passwords are not required to be reset every 120 days.

Note: Firms that enroll in TRACE Data Delivery SFTP will incur an initial set-up fee and a monthly fee for each MPID enrolled in the service. Fees will be assessed as part of the firm's monthly TRACE bill.

Fee information is available at www.finra.org/datadelivery/fees.

Upon receipt of the Request Form, FINRA will enroll the submitted MPID(s) in Data Delivery SFTP, create an FTP user account for the firm, and contact the submitter with the information regarding the new account. At that point, FINRA will be able to establish SFTP access for the firm. **Please see the Access Data via SFTP section below for more information on setting up your SFTP access.**

ADF Data Delivery Plus Enrollment

ADF Data Delivery Plus access provides users the ability to request and download transaction data for dates prior to the most recent 3 business days on demand, for any date within the prior two years. Users can also subscribe to have their daily data made available on the website each day automatically.

Enrollment in ADF Data Delivery Plus is **optional**, and requires the firm to submit a FINRA ADDS Optional Services Request Form. A link to the form can be found at www.finra.org/datadelivery.

Note: Firms that enroll in ADF Data Delivery Plus are assessed a monthly fee for each MPID enrolled in the service(s). FINRA will issue a monthly bill to the firm. While ADF Data Delivery Plus fees are assessed per MPID, rather than per user, fees are based on the number of "Plus" reports (transaction and/or reject files for dates older than the most recent 3 business days) received by users at the firm during the month.

Fee information is available at www.finra.org/datadelivery/fees.

Within 3 business days of receipt of a properly completed Request Form, FINRA will enroll the submitted MPID(s) in ADF Data Delivery Plus and grant the firm's Super Account Administrator (SAA) administrator rights to the Data Delivery Plus entitlement privilege. The SAA may then give the Data Delivery Plus privilege to any users at the firm who need access to the data. Users with Data Delivery Plus access must also have at least one enrolled MPID on their accounts to use the service.

ADF Data Delivery SFTP Enrollment

ADF Data Delivery SFTP enables firms to establish an automated interface to retrieve their data via Secure File Transfer Protocol (SFTP).

Enrollment in ADF Data Delivery SFTP is **optional**, and requires the firm to submit a FINRA ADDS Optional Services Request Form to establish a dedicated FTP user account. A link to the form can be found at www.finra.org/datadelivery. The FTP account will only be able to access data made available for SFTP access; the firm will not be able to use the FTP user's ID and password to log into <https://datadelivery.finra.org>. Since FTP users are intended for automated access, their passwords are not required to be reset every 120 days.

Firms that enroll in ADF Data Delivery Plus are assessed a monthly fee for each MPID enrolled in the service(s). FINRA will issue a monthly bill to the firm.

Fee information is available at www.finra.org/datadelivery/fees.

Upon receipt of the Request Form, FINRA will enroll the submitted MPID(s) in Data Delivery SFTP, create an FTP user account for the firm, and contact the submitter with the information regarding the new account. At that point, FINRA will be able to establish SFTP access for the firm. **Please see the Access Data via SFTP section below for more information on setting up your SFTP access.**

Access Data on the FINRA ADDS Website

File Availability

Files are generally made available on FINRA ADDS by 1:15 a.m. on the next business day after the trade report date. For example, trades reported to ADF or TRACE on Friday will be available by 1:15 a.m. the following Monday.

If you receive an “Unavailable” response for a file you requested and believe should be available, please send an email to datadelivery@finra.org.

Request Files

To request trade data, log into [FINRA ADDS](#) and click the **New Request** button. A file request box will appear with the following fields:

- **Report Category:** TRACE or Equity. This will depend on which service(s) your user is assigned.
- **Firm ID:** You may request data for one or more of the MPIDs listed here. If your firm has enrolled one or more MPIDs in the Data Delivery Plus service for TRACE and/or ADF, those MPIDs will be marked with an asterisk.
- **Request Type:** For TRACE, options are Securitized Products, Corporate & Agency Debt, or both. ADF users will select ADF.
- **File Type:** Check the box to request a Trades file (accepted transactions), a Rejects file (transactions that the system rejected) or both. *Note: For the purposes of FINRA ADDS billing, each Plus file received is a billable report. For example, if on July 1st, you request Trades and Rejects files for Securitized Products and Corporate & Agency Debt for May 1st, the request will result in 4 billable reports – a Trades file for each request type and a Rejects file for each request type.*
- **Trade Report Start Date:** Provide a start date for your request. The date entered must be prior to the current date.
 - TRACE users: If you do not have TRACE Data Delivery Plus access, your start date must be within the prior 30 calendar days. If you have TRACE Data Delivery Plus access, you may enter any date within the past 24 months.
 - ADF users: If you do not have ADF Data Delivery Plus access, your start date must be within the prior 3 business days. If you have ADF Data Delivery Plus access, you may access data within the past 24 months, once 24 months of data exists for ADF.
- **Trade Report End Date:** Provide an end date for your request. The date entered must be prior to the current date. You may request up to 31 days of data at a time, if you have Plus access.

Click **Submit** to complete your request or **Cancel** to exit out of the file request box.

Subscribe to Daily Delivery of Files

Users with the Data Delivery Plus privilege may subscribe to daily delivery of their files for any MPIDs their firm has enrolled in either TRACE Data Delivery Plus or ADF Data Delivery Plus. This eliminates the need for a user to request the prior day's data; instead, the data will be made available each day automatically.

To subscribe to daily delivery, log into [FINRA ADDS](#) and click the **Subscriptions** button.

Check the box(es) for the type(s) of files you want to have delivered to you on a daily basis, and click **Submit**. On the next business day, the file types will display automatically as soon as the data for the prior day is available.

A listing will display for each file type subscribed, whether or not the firm has data for that file type and date. For example, if you subscribe to daily delivery of your firm's reject files and you did not have any submissions rejected on the prior date, you will see the Reject file listing in your inbox, but the file status will be "Unavailable". Records will not be delivered for weekends or holidays.

Note: Generally, files will be generated by 1:15 a.m. on the next business day. On occasion, however, the Subscription delivery may be delayed. Please contact datadelivery@finra.org with any questions.

Review and Download Files

When you request a file, your request will appear on the screen immediately. The default sort order of the results is by Request Date, descending. You can change the sort order of the results by clicking on the column header. If you have access to more than one MPID, you can also filter the results by MPID. Click the arrow to the right of the Firm ID header, mouse over the Filters option, and type the MPID you wish to view in the text box to see only files for that MPID.

File Status

The Status of your request will indicate whether or not the data is available or in processing. Possible statuses are:

- **Available** – These files can be downloaded. Click the + sign on the far left of the row to expand it. Then, click the name of the file to open it. You may be prompted to enter a one-time PIN when you attempt to access your data. Please see **One-Time PINs** below for more information.
Note: You may see more than one file name for a single listing. This occurs if there are too many transactions for the MPID, date and file type requested to be included in a single file.
- **Unavailable** – This indicates that the system does not have any data for the MPID, file type or trade date provided. If you have questions, please send an email to datadelivery@finra.org.
Note: You may also see this status when delivery of the prior day's data is delayed. In that case, the file status will change to Available once the data has been loaded.
- **Access Denied** – If your access to an MPID has been removed, the status of that MPID's files will be Access Denied. If you have questions regarding why your access has been removed, please contact your firm's Super Account Administrator.

One-Time PINs

These files are protected by an extra layer of security provided through one-time PINs. If you do not have an active one-time PIN, a PIN will be automatically emailed to you when you attempt to download a file. The PIN will be valid for three days. Once you have entered an active PIN, you will be able to download

your data until the PIN expires. When the PIN expires, you will receive a new PIN the next time you attempt to view a file.

If you cannot locate your PIN, click the **Generate a New PIN** button and one will be emailed to you. Generating a new PIN invalidates all PINs previously provided.

Note: You cannot use a one-time PIN generated by the FINRA ADDS website to access reports in the FINRA Report Center, or vice versa.

File Expiration

Files are available for 30 calendar days. If you require access to a particular file for more than 30 days, **you should save the file to your computer or network**. Otherwise, you will need to re-request the file, and if the file is for a date more than 30 days prior (i.e., a “Plus” file), your firm will be billed for the new request.

File Deletion

You may wish to delete files you have downloaded and/or Unavailable records, to make navigation of your inbox easier. You have the option to delete files at any time. Simply select the check box for the file and click the **Delete** button. Records that are not deleted will be automatically removed when they expire.

Note: if you Delete and re-request a file, if the file is for a date more than 30 days prior, your firm will be billed for the second request.

Access Data via SFTP

Firms that sign up for TRACE Data Delivery SFTP access and/or ADF Data Delivery SFTP access have a dedicated user account created specifically for SFTP access to the firm’s data. That account will be able to log in programmatically to retrieve trade journal files.

SFTP Set-Up Process

To set up your firm to retrieve data via SFTP, you will need to follow these steps:

1. Submit the appropriate FINRA ADDS Optional Services Request Form to request a dedicated FTP user account.
2. Send your firm’s Gateway IP address to datadelivery@finra.org so that FINRA can associate your firm with our firewall. **This should be your firm’s externally visible IP**. FINRA will then set up your firm’s SFTP account for access and notify you when that process is complete. **Note: this process will take several days at minimum, and may take longer if there are issues with the IP address provided.**
3. Change the temporary password provided by the Entitlement Group and choose a permanent password. FTP users should log into: <https://accountmgmt.finra.org/myews/> to update their passwords (this cannot be done via the FINRA SFTP site). Since FTP users are intended for automated access, passwords are not required to be reset every 120 days. Once the user has updated his/her password, he/she will see an Access Denied page. At that point, the browser can be closed.
4. Once FINRA contacts you to confirm that your IP address has been associated with the FINRA firewall, you may connect to filetransfer.finra.org via SFTP.

5. Navigate to the TradeJournals/Out folder to retrieve your files. One-Time PINs are not required for SFTP access.

SFTP users will not have access to the FINRA ADDS website. If you wish to access <https://datadelivery.finra.org>, your Super Account Administrator may give your non-SFTP user the TRACE Trade Journals or ADF Trade Journals privilege.

Questions regarding the SFTP set-up process may be directed to datadelivery@finra.org

SFTP Data Delivery

TRACE and/or ADF trade journal files will be delivered to your firm's folder daily for each MPID you have enrolled in TRACE and/or ADF Data Delivery SFTP service. FINRA will deliver both the Trades and Rejects files for every date on which the enrolled MPID(s) have data. **If your firm has no transactions or rejects of either type for a date, you will not receive any files for that date.**

File Format

Trade journal files are made available in .zip format. The data contained therein is provided in comma separated value (CSV) files. Many systems allow users to open .zip files without requiring any additional software. Simply double-click the zip file to extract your data file.

If your system does not permit you to open a .zip file, you may need to download a compression program (such as WinZip, available free of charge).

If your firm blocks access to .zip files, you can save your Trade Journal data files with a different extension to access them. Contact your firm's technology support for assistance.

If you have a large number of transactions for a particular date, the system may need to separate your request into several files. When you click the + sign to expand the row for the date you requested data, all files for that particular request will be listed.

TRACE Trades File

The **TRACE Trades** file contains all transaction reports for the date requested where the selected MPID was present in any of the following fields:

- Reporting Party (RPID)
- Reporting Party Give Up (RPGU)
- Contra Party (CPID)
- Contra Party Give Up (CPGU)

The Trades files contain new transactions, correction submissions, cancelations and reversals. The last row in the file will contain a count of the number of trade records included in the file. The following fields are provided in the file:

Column	Description
Trade Report Date	The date the transaction was reported to TRACE
Trade Report Time	The time the transaction was reported to TRACE
Sub Product	The sub-product of the trade. For Securitized Products files, this field will contain ABS, MBS, CMO or TBA. For Corporate & Agency Debt files, this field will contain CORP, AGCY, ELN, or CHRC.
Trade Status	Possible trade status values are: <ul style="list-style-type: none"> • T = Newly Reported Trade • X = Canceled

	<ul style="list-style-type: none"> • C = Correction Canceled – the canceled portion of a trade that was modified • R = Correction New Trade – represents the new trade resulting from a trade correction • Y = Reversal <p>If a trade was submitted and then canceled or corrected, each version of the trade that occurred on this date is included in this file.</p>
Side	Indicates whether the trade was reported as a buy or a sell
Symbol	The symbol of the security reported
CUSIP	The CUSIP of the security reported
Quantity	Displays the quantity reported in the trade (in dollar amount)
Price	Displays the price at which the trade was executed
Price Override	Indicates if a price override was used to process the trade report
Reporting Party ID	The identifier of the party reporting the trade
Reporting Party Give Up	If the reporting party submitted the trade on behalf of the executing firm, this is the executing firm that the reporting party “gave up” on the trade report.
Reporting Party Capacity	Indicates whether the firm executed the trade for its own account (P for Principal) or for at third party (A for Agent)
Reporting Party Clearing Number	The Clearing number of the firm reporting the trade. This field is not required.
Contra Party	The party on the other side of the trade. Contra parties that are non-FINRA member firms will be identified with a C for customer.
Contra Party Give Up	The give-up identifier (if entered) for the contra party to the trade. This field will only appear if the trade is locked in.
Contra Capacity	The capacity (Principal or Agent) for the contra party to the trade. This field will only appear if the trade is locked in.
Contra Party Clearing Number	The clearing number for the contra party to the trade. This field will only appear if the trade is locked in.
Locked In Indicator	A Y in this column indicates that the trade is locked-in and satisfies both sides (Buy and Sell) of the trade reporting requirement.
As Of Indicator	A Y in this column indicates that the trade was reported as an as-of report.
Execution Date	The date the trade was executed
Execution Time	The time the trade was executed
Trade Mod 1	This field is not applicable to bond reporting.
Trade Mod 2	This field is not applicable to bond reporting.
Trade Mod 3	<p>This field includes any system-assigned values indicating that the trade was executed outside of normal market hours and/or was reported late. Possible values are:</p> <ul style="list-style-type: none"> • T = trade reported outside normal market hours • Z = trade reported during normal market hours and late • U = trade reported outside normal market hours and late
Trade Mod 4	<p>This field includes any modifier provided on the trade report. For Securitized Products transactions, possible values are:</p> <ul style="list-style-type: none"> • O = Specified Pool Transaction • N = Stipulation Transaction • D = Dollar Roll without Stipulation • L = Stipulated Dollar Roll • W = Weighted Average Price <p>For Corporate & Agency Debt transactions, possible value is:</p> <ul style="list-style-type: none"> • W = Weighted Average Price

Settlement Date	The date the transaction is reported to settle
Seller's Commission	The dollar amount charged as commission on the sell side
Buyer's Commission	The dollar amount charged as commission on the buy side
Branch Sequence Number	An in-house reference number assigned to the trade by the Reporting Party
Contra Branch Sequence Number	The reference number assigned to the trade by the contra party. This field will only appear if the trade is locked in.
Memo	This field may be used for internal purposes by the reporting firm.
Factor	A decimal representing the factor reported on the trade. This field is not relevant for Corporate & Agency Debt transactions.
Calculated Yield	Displays the yield reported on the trade. This field is not relevant for Securitized Products transactions.
Special Processing Flag	Indicates if the trade report was designated as a position transfer.
Special Price Indicator	A Y in this column indicates that the firm set the Special Price flag when reporting this transaction.
Special Price Memo	This is a required field when Special Price = Y, and is used by the reporting firm to provide the reason for the Special Price indicator.
Method of Entry	Indicates the method by which the trade was submitted to TRACE. Values are: <ul style="list-style-type: none"> • C = CTCI • W = Web • F = FIX
Trading Market Indicator	Indicates whether the trade was submitted as a P1 or S1. This field does not currently apply to Securitized Products transactions.
Control Date	The date the trade was reported. A trade is uniquely identified by Control ID + Control Date. In the case of a cancellation or correction, this is the date the cancellation or correction was reported, and prior trade control date will contain the date the trade being canceled or corrected was originally submitted.
Control Number	The reference number of the transaction, provided by TRACE.
Prior Control Date	This is populated on cancellations and corrections, and is the date the trade being canceled or corrected was originally submitted.
Prior Control Number	This is populated on cancellations and corrections, and is the reference number of the prior transaction (i.e., the transaction being subsequently canceled or corrected).
Executing Client Trade Identifier	An optional user-defined trade reference number which may be used by firms to perform trade management.
Contra Client Trade Identifier	The contra party's internal user reference number for the trade report. This field will only appear if the trade is locked in.
Reversal Indicator	A Y in this column indicates that the transaction was a reversal of a previous submission.
Submitting Firm	The entity that entered the trade. The trade may be entered by the responsible (i.e., executing) party, a give-up firm, a firm you have an agreement with or a service bureau. This value will differ from reporting party when a service bureau submits the trade on the reporting party's behalf.
Web User ID	The I112 code of the terminal where the trade was entered

TRACE Rejects File

The **TRACE Rejects** file contains all transaction reports for the date requested where the selected MPID was the submitting firm. The last row in the file will contain a count of the number of reject records included in the file. The following fields are provided in the file:

Column	Description
Trade Report Date	The date the rejected transaction was submitted to TRACE
Trade Report Time	The time the rejected transaction was reported to TRACE
Sub Product	The sub-product of the rejected transaction. For Securitized Products files, this field will contain ABS, MBS, CMO or TBA. For Corporate & Agency Debt files, this field will contain CORP, AGCY, ELN, or CHRC.
Reject Status	Identifies the current state of the reject. Possible values are: <ul style="list-style-type: none"> • J = Rejected – indicates that the transaction is available for follow-up action • P = Repaired – indicates that the transaction has been successfully repaired • F = Repair Failed – indicates that an unsuccessful attempt was made to repair the transaction • Z = Closed – indicates that the reject was closed by an unsuccessful repair or a close request
Side	Indicates whether the rejected transaction was reported as a buy or a sell.
Symbol	The symbol of the security reported
CUSIP	The CUSIP of the security reported
Quantity	Displays the quantity reported in the rejected transaction (in dollar amount).
Price	Displays the price at which the trade was executed.
Price Override	Indicates if a price override was used to attempt to process the rejected transaction.
Reporting Party ID	The identifier of the party reporting the transaction
Reporting Party Give Up	If the reporting party submitted the transaction on behalf of the executing firm, this is the executing firm that the reporting party “gave up” on the rejected transaction report.
Reporting Capacity	Indicates whether the firm executed the trade for its own account (P for Principal) or for a third party (A for Agent).
Reporting Party Clearing Number	The clearing number of the firm reporting the transaction. This field is not required.
Contra Party	The party on the other side of the trade. Contra parties that are non-FINRA member firms will be identified with C for customer.
Contra Party Give Up	The give-up identifier (if entered) for the contra party to the trade. This field will only appear if the trade is locked in.
Contra Capacity	The capacity (Principal or Agent) for the contra party to the trade. This field will only appear if the trade is locked in.
Contra Party Clearing Number	The clearing number for the contra party to the trade. This field only appears if the trade is locked in.
Locked In Indicator	A Y in this column indicates that the transaction is locked-in and would satisfy both sides (Buy and Sell) of the trade reporting requirement if successfully submitted.
As Of Indicator	A Y in this column indicates that the trade was reported as an as-of report.
Execution Date	The date the trade was executed
Execution Time	The time the trade was executed
Trade Mod 1	This field is not applicable to bond reporting.
Trade Mod 2	This field is not applicable to bond reporting.
Trade Mod 3	Rejected transactions are not evaluated for timeliness; therefore, this field

	is not applicable.
Trade Mod 4	This field includes any modifier provided on the transaction. For Securitized Products transactions, possible values are: <ul style="list-style-type: none"> • O = Specified Pool Transaction • N = Stipulation Transaction • D = Dollar Roll without Stipulation • L = Stipulated Dollar Roll • W = Weighted Average Price For Corporate & Agency Debt transactions, possible value is: <ul style="list-style-type: none"> • W = Weighted Average Price
Settlement Date	The date the transaction is reported to settle
Seller's Commission	The dollar amount charged as commission on the sell side
Buyer's Commission	The dollar amount charged as commission on the buy side
Branch Sequence Number	An in-house reference number assigned to the trade by the reporting party
Contra Branch Sequence Number	The reference number assigned to the trade by the contra party. This field will only appear if the trade is locked in.
Memo	This field may be used for internal purposes by the reporting firm.
Factor	A decimal representing the factor reported on the trade. This field is not relevant for Corporate & Agency Debt transactions.
Special Processing Flag	Indicates if the transaction was designated as a position transfer.
Special Price Indicator	A Y in this column indicates that the firm set the Special Price flag when attempting to report this transaction.
Special Price Memo	This is a required field when Special Price = Y, and is used by the reporting firm to provide the reason for the Special Price indicator.
Method of Entry	Indicates the method by which the trade report was provided to TRACE. Values are: <ul style="list-style-type: none"> • C = CTCI • W = Web • F = FIX
Trading Market Indicator	Indicates whether the transaction was submitted as a P1 or S1. This field does not currently apply to Securitized Products transactions.
Control Date	The date the transaction report was entered in TRACE. A trade is uniquely identified by Control ID + Control Date. In the case of a cancellation or correction, this is the date the cancellation or correction was reported, and prior trade control date contains the date the trade being canceled or corrected was originally submitted.
Control Number	The reference number of the rejected transaction, provided by TRACE
Prior Control Date	Populated on rejections of corrected submissions, and is the date the trade being canceled or corrected was originally submitted.
Prior Control Number	Populated on cancellations and corrections, and is the reference number of the prior transaction (<i>i.e.</i> , the transaction being subsequently canceled or corrected).
Executing Client Trade Identifier	An optional user-defined trade reference number that may be used by firms to perform trade management
Contra Client Trade Identifier	The contra party's internal user reference number for the trade report. This field will only appear if the trade is locked in.
Reversal Indicator	A Y in this column indicates that the transaction was a reversal of a previous submission.

Submitting Firm	The entity that entered the trade. The trade may be entered by the responsible (<i>i.e.</i> , executing) party, a give-up firm, a firm you have an agreement with, or a service bureau. This value differs from reporting party when a service bureau submits the trade on the reporting party's behalf.
Web User ID	The I112 code of the terminal where the trade was entered
Reject Code	The reject code associated with the transaction
Reject Description	The reason the transaction was rejected
Repair Control Number	The control number assigned to the successful repair of a rejected transaction
Next Reject Control Number	The control number assigned when an attempt to repair a reject fails

ADF Trades File

The **ADF Trades** file contains all transaction reports for the date requested where the selected MPID was present in any of the following fields:

- Reporting Party (RPID)
- Reporting Party Give Up (RPGU)
- Contra Party (CPID)
- Contra Party Give Up (CPGU)

The Trades files contain new transactions, correction submissions, cancelations and reversals. The last row in the file will contain a count of the number of trade records included in the file. The following fields are provided in the file:

Column	Description
Symbol	The ticker symbol of the security reported
Suffix	The suffix assigned to the security symbol in the transaction, if applicable
Reporting Party (RPID)	The identifier of the party reporting the trade
Reporting Party Capacity	Displays the capacity of the reporting party. This field will not be visible by the party on the contra side of the transaction. Values are: <ul style="list-style-type: none"> • P = Principal • A = Agency • R = Riskless Principal
Trade Report Date	The date the transaction was reported to ADF
Trade Report Time	The time the transaction was reported to ADF
Execution Time	The execution time reported on the transaction by the reporting party
Reporting Party Give Up (RPGU)	If a firm is being given up as the reporting executing firm, this will be the MPID of the executing party on the reporting side.
As Of Indicator	A Y in this field indicates that the trade was reported on a date other than the date the trade was executed.
Side	Indicates whether the trade was reported as a: <ul style="list-style-type: none"> • B = Buy • S = Sell • X = Cross
Quantity	Trade volume as number of shares
Price	Trade price. Can be a decimal unit price or contract amount price. Price type field identifies the type of price entered.
Clearing Price	Trade price inclusive of explicit fee
Price Type	Indicates the type of price entered. Values are: <ul style="list-style-type: none"> • C = Contract Amount

	<ul style="list-style-type: none"> • D = Decimal Unit Price
Contract Amount	The contract amount of the trade (i.e., price x quantity)
Clearing Contract Amount	Clearing price * quantity if clearing price exists, otherwise contract amount
Price Override	An O in this field indicates that a price override was used to process the transaction.
Short Sale Indicator	Indicates if the trade was submitted with the sold short (S) or sold short exempt (E) indicator. This field will not be visible by the party on the contra side of the transaction.
Method of Entry	Indicates whether the trade was submitted via the TRAQs Website (W), CTCI (C), or FIX (F).
Status	Indicates the status of the record. Values are: <ul style="list-style-type: none"> • T = New trade • C = Canceled portion of corrected trade • R = New (corrected) portion of corrected trade • X = Canceled trade • Y = Reversal
Matched Status	Indicates if and how the trade is matched. Values are: <ul style="list-style-type: none"> • A = Affirmed • D = Declined • B = Break Pending • K = Broken • M = Matched by Acceptance • C = Matched by Comparison • L = Matched by Auto-Lock
Prior Control Date	On a trade that has been canceled or corrected, this is the date the original trade was submitted.
Prior FINRA Control Number	On a trade that has been canceled or corrected, this is the control number of the original submission. This field will not be visible by the party on the contra side of the transaction.
Contra Party (CPID)	MPID on the other side of the trade. A C in this field indicates that the contra party is not a FINRA Member firm.
Contra Capacity	Displays the capacity of the contra party. This field will not be visible by the party on the reporting side of the transaction, unless the transaction is locked in, tape only, or audit trail only. Values are: <ul style="list-style-type: none"> • P = Principal • A = Agency • R = Riskless Principal
Execution Date	The date the trade was executed
Contra Party Give Up (CPGU)	If a firm is being given up as the contra executing firm, this will be the MPID of the executing party on the contra side.
System Assigned Publish Indicator	A Y in this field indicates that the trade was reported to the tape.
Publish Indicator	A Y in this field indicates that the reporting firm indicated the trade was for publication.
Match Control Number	Identifier assigned by the system to trades that have been matched. If the trade is locked in at submission or otherwise not match-eligible, this field will be blank.
Match Timestamp	Indicates when the trades were matched. If the trade is locked in at submission or otherwise not match-eligible, this field will be blank.
Branch Sequence Number	Internal reference number assigned to the trade by the submitting firm. This field will not be visible by the party on the contra side of the transaction.

Reversal Indicator	A Y in this field indicates that the trade has been reversed.
Special Processing Flag	A Y in this field indicates that the transaction was submitted for special processing (i.e., as a position transfer).
Special Instructions Indicator	A value in this field indicates that there are special instructions on the transaction. Values are: <ul style="list-style-type: none"> • 0 = Regular • 3 = Step Out Trade • 7 = Special Trade • 8 = Special and Step Out Trade
Clearing Indicator	A 0 in this field means the trade was sent to clearing; a 1 means it was not.
Control Date	The date the transaction was received in the system
FINRA Control Number	The unique identifier assigned to the trade by the system. This field will not be visible by the party on the contra side of the transaction.
Cancel Receipt Time	This will be populated on trades with a status of X, to reflect the time the trade was canceled in the system.
FINRA Trade Mod 3	Assigned and disseminated by the system if the trade meets one of these conditions: <ul style="list-style-type: none"> • T = Trade was executed outside normal market hours • Z = Trade was executed during normal market hours and reported late • U = Trade was executed outside normal market hours and reported late If the trade is published, this will be the modifier disseminated on the trade message.
FINRA Trade Mod 4	Assigned and disseminated by the system if the trade meets one of these conditions: <ul style="list-style-type: none"> • W = Weighted Average Price for trade disseminated to UTP SIP • B = Weighted Average Price for trade disseminated to CTA SIP • I = Odd Lot Trade
Trade Mod 1	Settlement Modifier on the trade as submitted by reporting party. Values are: <ul style="list-style-type: none"> • 0 = Regular • C = Cash • N = Next Day • R = Seller's Option
Trade Mod 2	Trade through exempt modifier. Values are: <ul style="list-style-type: none"> • 2 = FINRA Self Help Indicator • 3 = Intermarket Sweep Outbound • 4 = Derivatively Priced • 6 = Intermarket Sweep Inbound • 7 = FINRA Contingent Indicator • 8 = FINRA Subpenny Indicator • E = Error Correction • P = Print Protection
Trade Mod 2 Time	Time associated with intermarket sweep order. May be provided by the reporting party or populated by the system with trade execution time.
Trade Mod 3	Submitted by the reporting firm if the trade meets one of the following conditions: <ul style="list-style-type: none"> • T = Trade was executed outside normal market hours • Z = Trade was executed during normal market hours and reported late • U = Trade was executed outside normal market hours and reported late
Trade Mod 4	Submitted by the reporting firm if the trade meets one of the following conditions: <ul style="list-style-type: none"> • W = Weighted Average Price

	<ul style="list-style-type: none"> • S = Stopped Stock • P = Prior Reference Price • X = Trade Related to Options Exercises • R = Trade Price Unrelated to the Current Market
Trade Mod 4 Time	This is the time associated with Prior Reference Price or Stopped Stock trades.
Seller Days	If Trade Modifier 1 is Sellers Option, this field shall contain the days to settlement.
Trade Thru Exempt	A 0 in this field indicates that there is no trade through exemption on the trade. A 1 in this field indicates that the submitter indicated the trade is trade through exempt.
Related Market Indicator	Represents the market center for the trade. Values are: <ul style="list-style-type: none"> • Q = NQ Exchange Trade for NQ securities • N = NYSE trade • A = AMEX trade • B = BSE trade • C = NSX trade • I = ISE trade • M = Chicago Stock Exchange trade • P = PSE trade • W = CBOE trade • X = Phil Stock Exchange trade • O = unknown market center • U = unspecified mult market trades • 0 = ADF/ORF • 1 = NQ TRF • 3 = NYSE TRF • F = Foreign Market • H = BATS Exchange trade • G = BATS Y Exchange trade • J = DirectEdge A Ex trade • K = DirectEdge X Ex trade
Contra Branch Sequence Number	Internal reference number assigned to the trade by the contra firm. This field will not be visible by the party on the reporting side of the transaction, unless the transaction is locked in, tape only, or audit trail only.
Product	Values are: <ul style="list-style-type: none"> • CTS • UTP
Sub-Product	Values are: <ul style="list-style-type: none"> • NYSE • ARCA • AMEX • BATS • NSDQ
Security Description	Description of the security being traded.
Reporting Party Clearing Number	Identifier for the clearing firm associated with the reporting party.
Contra Clearing Number	Identifier for the clearing firm associated with the contra party.
Locked-In Indicator	A value in this field indicates that the trade was locked in at submission. Values are: <ul style="list-style-type: none"> • A = AGU

	<ul style="list-style-type: none"> • Q = QSR
Reporting Obligation	A Y in this field indicates that the trade report is the submission from the member with the trade reporting obligation.
Settlement Date	The date the trade is reported to settle
Trade Reference Number	Reference Number used to tie a Tape eligible trade to one or more non-Tape eligible trades
OATS Reference Number	Order audit trail reference number associated with the transaction. This field will not be visible by the party on the contra side of the transaction.
OATS Contra Reference Number	Order audit trail reference number for the contra party associated with the transaction. This field will not be visible by the party on the reporting side of the transaction, unless the transaction is locked in, tape only, or audit trail only.
Memo	Used for firm internal memo purposes. This field will not be visible by the party on the contra side of the transaction.
Contra Memo	Used for firm internal memo purposes by the contra firm. This field will not be visible by the party on the contra side of the transaction, unless the transaction is locked in, tape only, or audit trail only.
Client Trade ID	The trade reporting party internal user reference number for the trade report. This field will not be visible by the party on the contra side of the transaction.
Contra Client Trade ID	The contra party internal user reference number for the trade report. This field will not be visible by the party on the reporting side of the transaction, unless the transaction is locked in, tape only, or audit trail only.
Reference Reporting Facility	Populated only on reversals, to indicate on what facility the original transaction being reversed was entered. Values are: <ul style="list-style-type: none"> • Q = FINRA/NASDAQ TRF • N = FINRA/NYSE TRF • O = ORF (OTC Reporting Facility)

ADF Rejects File

The **ADF Rejects** file contains all transaction reports for the date requested where the selected MPID was the submitting firm. The last row in the file will contain a count of the number of reject records included in the file. The following fields are provided in the file:

Column	Description
Reject Time	The time the transaction was rejected
Reject Reason Code	The reject code associated with the transaction
Reject Control Number	The system-assigned identifier for the reject
Reject Status	The current state of the reject. Values are: <ul style="list-style-type: none"> • J = Rejected • P = Repaired • F = Repair Failed • Z = Closed
Entry Type	Indicates the status of the rejected transaction. Values are: <ul style="list-style-type: none"> • TRIT = Trade Entry • TRIX = Cancel • TRIR = Correction • TRIY = Historical Cancel
Client Trade Identifier	The trade reporting party internal user reference number for the trade report

Side	Indicates whether the rejected transaction was reported as a Buy (B), Sell (S) or Cross (X)
Symbol	The ticker symbol of the security reported
Suffix	The suffix assigned to the security symbol in the rejected transaction, if applicable
Quantity	Trade volume as number of shares
Price	Trade price. Can be decimal unit price or contract amount price. Price type field identifies the type of price entered.
Reporting Party (RPID)	The identifier of the party reporting the trade
Reporting Party Give Up (RPGU)	If a firm is being given up as the reporting executing firm, this will be the MPID of the executing party on the reporting side.
Contra Party (CPID)	MPID on the other side of the trade. A C in this field indicates that the contra party is not a FINRA member firm.
Contra Party Give Up (CPGU)	If a firm is being given up as the contra executing firm, this will be the MPID of the executing party on the contra side.
Execution Date	The date the trade was executed
Execution Time	The execution time reported on the transaction by the reporting party.
Method of Entry	Indicates whether the rejected transaction was submitted via the TRAQS Website (W), CTCI (C), or FIX (F).
Market Center	Represents the market center for the trade. Values are: <ul style="list-style-type: none"> • NQ Exchange Trade for NQ securities • N = NYSE trade • A = AMEX trade • B = BSE trade • C = NSX trade • I = ISE trade • M = Chicago Stock Exchange trade • P = PSE trade • W = CBOE trade • X = Phil Stock Exchange trade • O = unknown market center • U = unspecified mult market trades • 0 = ADF/ORF • 1 = NQ TRF • 3 = NYSE TRF • F = Foreign Market • H = BATS Exchange trade • G = BATS Y Exchange trade • J = DirectEdge A Ex trade • K = DirectEdge X Ex trade
Locked-In Indicator	A value in this field indicates that the transaction was locked in at submission. Values are: <ul style="list-style-type: none"> • A = AGU • Q = QSR

Fees

TRACE Data Delivery Plus

Firms that subscribe to TRACE Data Delivery Plus pay a monthly fee for each MPID enrolled in the optional service. Each MPID is placed in a billing tier annually, which is based on the average number of

transactions per month that the MPID subscriber was a party to in the prior calendar year. The monthly charge is based on the firm's billing tier and the number of Plus reports the firm received during that month:

Average Number of Transactions per Month MPID Subscriber Was a Party to in Prior Calendar Year	0 – 5 Plus Reports Received	6 – 25 Plus Reports Received	> 25 Plus Reports Received
Tier 1: 10,000 +	\$60	\$80	\$100
Tier 2: 3,000 – 9,999	\$40	\$55	\$70
Tier 3: 500 – 2,999	\$20	\$30	\$40
Tier 4: < 500	\$10	\$15	\$20

TRACE Data Delivery SFTP

Firms that subscribe to TRACE Data Delivery SFTP pay a one-time set-up fee of \$250, and a \$200 monthly fee.

FINRA ADDS fees will be included in your firm's TRACE bill each month. For more information on the fees, see [FINRA Rule 7730](#).

ADF Data Delivery Plus

Firms that subscribe to ADF Data Delivery Plus pay a monthly fee for each MPID enrolled in the optional service. The monthly charge is based on the number of Plus reports the firm received during that month:

0 – 5 Plus Reports Received	6 – 25 Plus Reports Received	> 25 Plus Reports Received
\$60	\$80	\$100

ADF Data Delivery SFTP

Firms that subscribe to ADF Data Delivery SFTP pay a one-time set-up fee of \$250, and a \$200 monthly fee.

FINRA ADDS fees for ADF will be sent in a separate bill each month. For more information on the fees, see [FINRA Rule 7510](#).

Expected File Delivery and Support

Availability of Daily Files

Files for a trade report date are made available to SFTP and/or web subscribers on the business day following the date the trade reports were submitted. Files are not delivered to subscribers on weekends or FINRA holidays. For example, trades reported on a Friday will be available in a file generated on Monday morning, and trades reported on Wednesday, July 3rd will be available on Friday, July 5th.

Under normal circumstances, files are available via SFTP and/or the website by 1:10 AM ET. There may be circumstances, however, when the data is delayed. If that occurs, FINRA will make its best efforts to deliver the files by 7 AM ET the following business day.

FINRA reserves the right to make changes to the file delivery schedule as necessary. FINRA will communicate these changes in advance to subscribers via the email address associated with their FINRA Entitlement account.

Scheduled maintenance occurs between the hours of 9 p.m. ET Friday until 6 a.m. ET Monday. It is possible that users may not be able to access the site at that time.

Support

If you are unable to access the site or the expected data is not available, you may contact FINRA by phone or email.

Contact Information	Hours of Availability
240-386-4020	24 hours a day, Monday through Friday
datadelivery@finra.org	7:30 AM ET to 5 PM ET, Monday through Friday

When contacting FINRA to report an issue, please provide your firm's Market Participant Identifier (MPID) and name, your name, and a contact phone number or email address.

Please note: cases raised outside of normal business hours will be addressed during normal business hours. If you have contacted FINRA outside of normal business hours to report an issue, you should expect an update on the status of your case by 10 AM ET.

Troubleshooting

Access Denied Message

Files will have a status of Access Denied if the MPID is no longer associated with your user account. To determine what MPIDs are listed on your account, click the **My Account** link on the top right corner of the FINRA ADDS website. If you have questions about the MPIDs on your account, please contact your firm's Super Account Administrator for more information.

Unable to Connect via SFTP

If your firm's Gateway IP address changes, this will impact your ability to connect to FINRA via SFTP. If you are unable to connect via SFTP, send an email to datadelivery@finra.org for assistance.

Contact FINRA

If you have questions about how to use the FINRA ADDS site or about the data provided, contact the FINRA Gateway Call Center at (800) 321-6273 or send an email to datadelivery@finra.org.