



Schwab Web Trading

File Specifications for all the Schwab Advisor Services Facing Formats – Trade Order, Allocation, Lot Instructions, PBID and Trades Away

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1. Overview

This document details the trade, allocation and lot instructions file specifications for importing to Schwab's Web Trading applet, found on schwabadvisorcenter.com.

Furthermore, in support of the Emergency Economic Stabilization Act (October 2008) we currently allow the submission of lot instructions for the following file formats and security types:

1. Trade Order file format supports Equity, ETF, and Mutual Fund lot instructions.
2. Allocation file format supports Equity and ETF lot instructions.
3. Lot Instructions file format supports Equity, ETF, and Mutual Fund lot instructions from trade day through settlement day into the new Web Trading applet tab, Lot Instructions (Mutual Funds will be available by Jan 2012). This file is the same format as the modified Trade Order file with minor differences in field requirements.

NOTE:

- A maximum of twenty (20) lot instructions can be specified per trade order or sub-account allocation.
- The old Trade and Allocation file formats will continue to be accepted without Lot Instructions.
- There are no changes to the Prime Broker and Trades Away files.
- If you do not provide Lot Instructions in the Trade or Allocations file, Lot Instructions can be created and/or changed in the Web Trading applet from Trade Day through Settlement Day.

For more information on Web Trading, please refer to the Trading Platform content found within the Resource Center of schwabadvisorcenter.com or the Help content found within the applet.

2. Schwab Trade Orders

Currently, Web Trading supports imported trade orders in comma-delimited format, also known as comma-separate-value (CSV).

Orders for regular market sessions and extended hours trading can both be uploaded; however, files created for import can contain instructions for either regular market session orders or extended hours trading, but not both.

In all cases Web Trading does not accept files containing more than 10,000 trade orders. Files containing more than 10,000 orders should be divided into at least two files for import with no one file having more than 10,000 trade orders.

Each equity and mutual fund trade order can include a maximum of 20 lot instructions. Lot instructions are not currently accepted for Options.

2.1 Schwab Trade Orders in Comma-Delimited File Format

This section describes how to create an order file in Schwab's standard format for importing into Web Trading using the comma-delimited format. Once a file has been imported into Web Trading, the file can be modified, validated, and submitted in a way similar to orders created directly in Web Trading.

Trade Orders can be imported in the Detailed File with or without accompanying Lot Instruction records. The Simplified File Format cannot be used to include lot instructions. Fields are comma delimited. All “blank” fields must have a comma inserted per the instructions below.

Note: *In either file, if no price is specified, the imported orders will default to market orders.*

You can also create and import order files for extended hours trading. The simplified file cannot be used to import extended hours trading orders.

Note: Files created for importing can contain only one type of hours session: either standard market hours session orders or extended hours trading session orders, but not a combination.

TIP #1: If the comma delimited Trade Order detail file includes lot instructions with any of the following errors, the system will import the Detail Trade Order record but not the Lot Instruction records. Errors are:

- Incorrect Format in Lot Instruction Field
- Required Lot Instructions Field Missing Data
- Lot Instructions Exceeds 20
- Invalid Date, Quantity or Original Purchase Price in Lot Instruction Field

You will be able to select and submit your lot instructions in the Web Trading’s Order List tab.

TIP #2: If the comma delimited Trade Order detail file Lot instructions Quantity is less than the Order Share Quantity you will be provided the option to apply the remaining instructions per your default accounting method.

If you do not elect this method, the lot instructions will not be imported. You will be able to select and submit your Lot Instructions in the Web Trading’s Order List tab.

TIP #3: If the comma delimited Trade Order detail file Lot instructions Quantity is greater than the Order Share Quantity the lot instructions will be processed in the order it was submitted up until the executed order quantity.

If you do not elect this method, the lot instructions will not be imported. You will be able to select and submit your Lot Instructions in the Web Trading’s Order List tab.

TIP #4: If the comma delimited Trade Order detail file Trade Order Detail Record Field 30, Lot Instruction Method, does not contain VSP and lot instructions are included, the lot instructions will not be imported:

You will be able to select and submit your lot instructions in the Web Trading’s Order List tab.

2.2 Creating Schwab Trade Orders in Comma-delimited File Format Using Microsoft® Excel

To create a Schwab standard format text file in Excel, first enter the data into an Excel spreadsheet. Then save the spreadsheet as a comma-delimited (.csv) file. This section details the steps to create the file.

Note: *It is very important to follow this format exactly.*

1. Open a new Excel spreadsheet document.
2. *Using all capital letters*, enter order data into the spreadsheet. All required data must be included. Optional fields may be left blank.
3. Do not exceed the column “Max Width” specified in the file layout.
4. In Row 1 of the spreadsheet, enter the detail of the first trade order.
5. If including Lot Instructions insert the first instruction in Row 2. Use a separate row for each instruction. Maximum Lot Instructions per trade order is twenty (20).
6. If not including Lot Instructions insert the next trade order in Row 2.
7. For subsequent rows follow the same process. The file can be mixed – orders with Lot Instructions and orders without Lot Instructions.
8. Ensure trade order and lot instructions data sections are correctly placed and all required data is present.
9. Save the file as a comma-delimited file (.csv extension).
 - In the File menu, select **Save As**.
 - In the Save as type drop-down menu, select **CSV (Comma delimited)** and click **Save**.

The file is now ready to import using the Web Trading import feature.

Note: *If you want to open the saved file in Microsoft® Notepad, you must rename it with a .txt extension (for example, “tradefile.txt”) so applications such as Notepad can recognize the file. DO NOT re-save the file as a text file—it will change the file’s format.*

2.3 Specifications: – Schwab Trade Order Detail File Format - Comma Delimited

The Trade Order comma delimited detailed file format will be accepted for import per the following:

2.3.1 In General:

- Contains a Detail record.
- If including lot instructions, contains a maximum of twenty (20) specified lots instructions per Trade Order.
- Allows standard market hours session orders or extended hours trading session orders, but not a combination.
- Required fields are Sub-Account #, Transaction Code, Quantity / Amount / Shares, Security Symbol, Price Type, Security Type and Lot Selection Method if including lot instructions.
- Data entry is in CAPITAL Letters.
- The column “Max Width” specified in the file layout cannot be exceeded.

- No specific file name format.
- The file is saved as a comma-delimited file (.csv extension).

2.3.2 Without Lot Instructions:

- Requires a minimum of 6 data fields, and can accept up to 18.
- Empty fields are required to be comma delimited up to field 18.

2.3.3 With Lot Instructions:

- Requires a minimum of 6 data fields, and can accept up to 18.
- Fields 1 through 18 if optional and empty are required to be comma delimited.
- Fields 19 through 29 are required to be comma delimited.
- Field 30 must include VSP. In the future this field will allow an alternative lot selection method.
- Requires the insertion of specified Lot Instruction records. Fields are:
 - Record Type: EV (Always)
 - Original Purchase Date: Required
 - Share Quantity: Required
 - Original Purchase Price: Optional
- Specified Lot Instruction records are inserted after the Detail record.

2.3.4 Record Configuration – Schwab Trade Order Detail File Format - Comma Delimited

Header Record / Schwab Trade Order – Detail Format
(None)

Detail Record / Schwab Trade Order – Detail Format

Order	Max Width	Content	Specifications	Valid Values / Examples / Instructions
1	8	Sub Account #	Numeric - Leading 0s if applicable	10000000 - 99999999
2	10	Transaction Code	Alphanumeric	Equity - B, BUY, BY, S, SELL, SL, SELL LONG, SS, SELL SHORT, SELLSHORT Option - BO, BUY OPEN, BUYOPEN, BC, BUY, CLOSE, BUYCLOSE, SO, SELL OPEN, SELLOPEN, SC, SELL CLOSE, SELLCLOSE Mutual Fund - B, BUY, BY, BD, BX, BUY+FEE, BY+FEE, S, SELL, SL, SP, SELL%, SL%, S%, SA, SELL ALL, SELLALL, SD, SELLDOLLAR, SX, SELL+FEE, SL+FEE,

Order	Max Width	Content	Specifications	Valid Values / Examples / Instructions
				S+FEE
3	12	Quantity/Amount/Shares	Numeric	<p>Equity – Buy: 6 digits to left of decimal. Sell, Sell Short: whole number or fraction; 6 digits to left of decimal, 4 to right.</p> <p>Option – All actions: whole number; 6 digits to left of decimal.</p> <p>Mutual Fund – All actions: whole number or fraction; 6 digits to left of decimal, 4 to right.</p> <p>Extended Hours – Quantity limit for Extended Hours trades = 5,000 shares.</p>
4	21	Security Symbol	Alphanumeric	<p>Equity example: XXX Option example: XXXX 100522C00020000</p> <p>Extended Hours Trading symbols must have “.E” appended (example: CMGI.E)</p>
5	10	Price Type	Alphanumeric	<p>MARKET, MKT, M, LIMIT, LMT, L, STOP, S, STOPLIMIT, SL BLANK=MARKET Extended Hours – Must be LIMIT, LMT or L</p>
6	12	Limit Price	Numeric	<p>Equity – Whole number or fraction; 6 digits to left of decimal, 4 to right. Option – Whole number or fractions; 6 digits to left of decimal, 4 to right.</p>

Order	Max Width	Content	Specifications	Valid Values / Examples / Instructions
7	16	Time Limit	Alphanumeric	GTC, G, DAY, D, IMMEDIATECANCEL, IMC, I, MORNING (for Pre-Market orders) , N (for AHT orders), NIGHT (for AHT orders) P (for Pre-Market orders) ; BLANK = DAY
8	12	Security Type	Alphanumeric	EQUITY, EQ, E, OPTION, OP, O, MUTUALFUND, MF, M Pre & Post Market = ECN, EQUITY.ECN BLANK = EQUITY
9	12	Stop Price	Numeric	Equity – Whole number or fraction; 6 digits to left of decimal, 4 to right. Option – Whole number or fractions: 6 digits to left of decimal, 4 to right. This field must be blank if order Price Type is Market.
10	3	All or None	Alphanumeric	YES, Y, NO, N; BLANK = No This field is mutually exclusive with Minimum Quantity/Minimum Face Value
11	12	Minimum Quantity	Numeric	Equity – Whole number < quantity and > 100; 6 digits to left of decimal. Option – Whole number < quantity; 6 digits to left of decimal.
12	3	Do Not Reduce	Alphanumeric	YES, Y, NO, N; BLANK = No

Order	Max Width	Content	Specifications	Valid Values / Examples / Instructions
13	20	Dividend Reinvestment	Alphanumeric	1, CC, CASHCASH, PAYINCASH, PIC, P, C, NO, N 2, RR, REINVESTREINVEST, REINVESTINFUND, RIF, R, YES, Y 3, CR, CASHREINVEST BLANK = No for EQs/Reinvest for MFs
14	8	Transaction Fee	Alphanumeric	INCLUDED, I, ADD, A BLANK = INCLUDED
15	5	Swap to Fund	Alphanumeric	Example: XXXXX
16	1	Do Not Submit	Numeric	BLANK = Submit order 1 (one) = Do Not Submit order
17	8	Linked Trade (Allocation Group ID)	Numeric	Any numeric value between 1 and 99999999
18	8	New Money	Numeric	Available for mutual fund orders only: 5 places to the left of the decimal and two places to the right of the decimal. Minimum value is 0.01 and maximum value is 99999.99. BLANK=No dollar value
19		Executing broker		Comma Delimit when including Lot Instructions; Specific only when Exporting from Schwab
20		InitiatorId		Comma Delimit when including Lot Instructions; Specific only when Exporting from Schwab
21		Discretionary		Comma Delimit when including Lot Instructions; Specific only when Exporting from Schwab
22		TraderId		Comma Delimit when including Lot Instructions; Specific only when Exporting from Schwab

Order	Max Width	Content	Specifications	Valid Values / Examples / Instructions
23		OICustomColumn1		Comma Delimit when including Lot Instructions; Specific only when Exporting from Schwab
24		OICustomColumn2		Comma Delimit when including Lot Instructions; Specific only when Exporting from Schwab
25		OICustomColumn3		Comma Delimit when including Lot Instructions; Specific only when Exporting from Schwab
26		OICustomColumn4		Comma Delimit when including Lot Instructions; Specific only when Exporting from Schwab
27	8	OICustomColumn5		Comma Delimit when including Lot Instructions; Specific only when Exporting from Schwab
28		EtfType		Comma Delimit when including Lot Instructions; Specific only when Exporting from Schwab
29	8	OrderDate		Comma Delimit when including Lot Instructions; Specific only when Exporting from Schwab
30	10	Lot Selection Method	Alphanumeric	VSP Required when including Lot Instructions

Lot Instruction Record / Schwab Trade Order – Detail Format

Order	Max Width	Content	Specifications	Valid Values / Examples / Instructions
1	2	Record Type	Alphanumeric - Always EV	EV
2	10	Purchase Date	Date - mm/dd/yyyy	07/27/2010
3	16	Share Quantity	Numeric -9Left.6Right	123456789.123456
4	18	Purchase Price	Numeric - 7Left.8Right	1234567.12345678

Trailer Record / Schwab Trade Order – Detail Format
(None)

2.3.5 Sample Data Format: Schwab Trade Order Detail File Format - Comma Delimited

```

12345678901234567890123456789012345678901234567890123456789012345678901234
DDDDDDDD,SELL,2500,XXXX,, ,MUTUALFUND,,,,,I,,,,,,,,,,,,,VSP
EV,06/05/2008,500,89.12345678
EV,07/26/2009,750,43.7658
EV,11/15/2009,750,78.22
EV,04/04/2010,500,83.899
DDDDDDDD,SELL,1050,XXXX,MARKET,,DAY,EQUITY,,,,,,,,,,,,,VSP
EV,06/05/2004,1000,0000074.3200
EV,01/23/2002,50,12.1500
DDDDDDDD,SELL,1000,XXXX,LIMIT,25.0125,DAY,EQUITY
    
```

2.3.6 Sample Data Format as Shown in Microsoft® Excel: Schwab Trade Order Detail File Format - Comma Delimited

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	U	V	W	X	Y	Z	AA	AB	AC	AD	
1	DDDDDDDD	SELL	2500	XXXX				MUTUALFUND						I																	VSP
2	EV	6/5/2008	500	89.12345678																											
3	EV	7/26/2009	750	43.7658																											
4	EV	11/15/2009	750	78.22																											
5	EV	4/4/2010	500	83.899																											
6	DDDDDDDD	SELL	1050	XXXX	MARKET		DAY	EQUITY																						VSP	
7	EV	6/5/2004	1000	74.32																											
8	EV	1/23/2002	50	12.15																											
9	DDDDDDDD	SELL	1000	XXXX	LIMIT		25.0125	DAY	EQUITY																						

2.4 Specifications: Schwab Trade Order Simplified File Format - Comma Delimited – Equity Orders Only, No Lot Instructions

The Trade Order comma delimited simplified file format will be accepted for import per the following:

2.4.1 In General:

- Contains a Detail record.
- Allows standard market hour’s session orders only.
- The simplified file import can accept equity orders for execution only during the regular market session.
- Data entry is in CAPITAL Letters.
- The column “Max Width” specified in the file layout cannot be exceeded.
- No specific file name format.
- The file is saved as a comma-delimited file (.csv extension).
- Requires a minimum of 4 data fields: Account Number, Transaction Code (Action), Quantity, and Symbol.

2.4.2 Record Configuration – Schwab Trade Order Simplified File Format - Comma Delimited

Header Record / Schwab Trade Order – Simplified Format
(None)

Detail Record / Schwab Trade Order – Simplified Format

Order	Max Width	Content	Specifications	Valid Values / Examples / Instructions
1	8	Sub Account #	Numeric - Leading 0s if applicable	10000000 - 99999999
2	10	Transaction Code	Alphanumeric	B, BUY, BY, S, SELL, SL, SELL LONG, SELLLONG, SS, SELL SHORT, SELLSHORT
3	12	Quantity/Amount/ Shares	Numeric	Equity – Buy: 6 digits to left of decimal. Sell, Sell Short: whole number or fraction; 6 digits to left of decimal, 4 to right.
4	21	Security Symbol	Alphanumeric	Equity example: XXX

Trailer Record / Schwab Trade Order – Simplified Format

(None)

2.4.3 Sample Data Format: – Trade Order Simplified File Format - Comma Delimited

123456789012345678901234567890123456789012345678901234567890

DDDDDDDD, B, 5000, XXX
 DDDDDDDD, SS, 3500, XXXX
 DDDDDDDD, SL, 2500, XX
 DDDDDDDD, B, 1000, X

2.4.4 Sample Data Format as Shown in Microsoft Excel: – Schwab Trade Order Simplified File Format - Comma Delimited

	A	B	C	D	E	F	G	H	I	J
1	DDDDDDDD	B	5000	XXX						
2	DDDDDDDD	SS	3500	XXXX						
3	DDDDDDDD	SL	2500	XX						
4	DDDDDDDD	B	1000	X						
5										

2.5 Importing a Schwab Standard File Format Text File in Comma Delimited Format

A few reminders before importing:

- Files created for importing can contain only one type of file: either standard market hours session orders or extended hours trading session orders, but not a combination.
- Extended hours trading files can contain either pre-market session orders or after-hours session orders, but not both.
- The simplified file import can accept equity orders for execution only during the regular market session.

Import Instructions:

1. Create a file in comma-delimited format to be imported.
2. Launch Web Trading from the **Trade** tab of schwabadvisorcenter.com (formerly schwabinstitutional.com)
3. Once in Web Trading, go to the **Order List** tab.
4. On the **Order List** tab, at the bottom of the window, click **Import**.
5. In the dialog box that appears, select the file you want to import and click **OK**.
6. The orders fill the blotter on the **Order List** tab. They can be modified the same way as orders created in Web Trading.

2.5.1 Sample Data Format as Shown in Microsoft Excel: Equities Trade Order Template—Extended Hours Trading

	A	B	C	D	E	F	G	H	I	J
1	DDDDDDDD	BUY	5000	XXX	LIMIT	25.0125	NIGHT	EQUITY		YES
2										
3										
4										
5										
6										
7										
8										

Note: This figure shows a Schwab standard format file created in Excel for after-hours trading. To create the same file for the pre-market trading session, change the column containing the word "NIGHT" to the word "MORNING." All other data in this example remains constant

3. Schwab Trade Allocations – Import into Web Trading Applet – Comma Delimited

3.1 Schwab Allocations in Comma Delimited File Format

The "Schwab Allocations in Comma Delimited File Format" section provides instructions for creating an allocation file to be imported into Web Trading. The Schwab Allocation import file can be submitted through Web Trading immediately following the submission of the block trade order.

There are two types of comma-delimited allocation files that can be imported:

- A file containing an allocation for a single trade with or without Lot Instructions
- A file containing allocations for multiple trades with or without Lot Instructions

In all cases, files greater than 35,000 allocations will not be accepted by Web Trading. For files greater than 35,000, please divide the allocations into at least two files with no one file containing more than 35,000 allocations.

Each sub-account allocation can include a maximum of 20 lot instructions.

TIP #1: If you imported the comma delimited Allocations file into the Web Trading's Allocation Worksheet and the file includes lot instructions with any of the following errors, the system will import the Detail Allocation record but not the Lot Instruction records. Errors are:

- Lot Instruction Quantity Exceeds Order Quantity
- Incorrect Format in Lot Instruction Field
- Required Lot Instructions Field Missing Data
- Lot Instructions Exceeds 20 instructions
- Invalid lot instruction Date, Quantity or Original Purchase Price

Upon completion of file import, the system will display a screen listing the Sub-Account #, Allocation Quantity and the Error Message. If the error count exceeds 10, the system will display a message and will not import the file.

You will be able to select and submit your lot instructions in the Web Trading's Allocation Worksheet.

TIP #2: If you imported the comma delimited Allocations file into the Web Trading applet's Allocation Worksheet and the Lot Instructions Quantity is less than the Order Quantity, the Web Trading applet will apply the remaining instructions per your default accounting method.

You will be able to change and submit your lot instructions in the Web Trading's Allocation Worksheet.

TIP #3: If you imported the comma delimited Allocations file into the Web Trading applet's Allocation Worksheet and the Allocation Detail Record Field 4, Lot Instruction Method does not contain VSP, the lots instructions will not be imported.

You will be able to change and submit your lot instructions in the Web Trading's Allocation Worksheet.

TIP #4: If you imported the comma delimited Allocations file into the Web Trading applet and selected Submit, the system will not pre-validate the Lot Instruction records.

You will be notified if there are errors in the file.

3.2 Creating Schwab Allocations in Comma-delimited File Format Using Microsoft® Excel

To create a Schwab allocation standard format text file in Excel, first enter the data into an Excel spreadsheet. Then save the spreadsheet as a comma-delimited (.csv) file. This section details the steps to be followed to create the text file.

Note: *It is very important to follow this format exactly.*

1. Open a new Excel spreadsheet document.
2. Using all capital letters, enter order data into the spreadsheet. All required data must be included. Optional fields may be left blank.
3. Do not exceed the column width specified in the file layout. Right-justify the entire spreadsheet.
4. Enter the file header data in Row 1 of the spreadsheet (Master Account, Web Trading version number) followed by the detail data, lot instructions, one per row up to a maximum of twenty (20) rows (if providing lot instructions) and trailer record in subsequent rows depending on the number of trade orders in the file. The last row should contain the trailer record.

Note: *For multiple trade allocations, repeat steps 2–4 directly below the original order to duplicate this process for each order you want to include in the allocation file.*

5. Ensure that the data sections are correctly placed; all required data is present; and all columns are aligned and configured correctly.
6. Save the file as a comma-delimited file (.csv extension).
 - In the File menu, select **Save As**.
 - In the Save as type drop-down menu, select **CSV (Comma delimited)** and click **Save**.

The file is now ready to import using the Web Trading import feature.

Note: *If you want to open the saved file in MS Notepad, you must rename it with a .txt extension (For example, tradefile.txt.) so Notepad can recognize it. DO NOT re-save the file as a text file, because that will change its format.*

3.3 Specifications: Schwab Allocation File in Comma Delimited File Format

This file format is used for importing either a single or multi-trade Schwab securities allocation list(s) in one file into Web Trading. This file format can be used to allocate a block trade that has already been submitted or to create a block trade(s) from the allocation list.

Note: *If you want to provide Lot Instructions, you must insert each Lot Instruction record after the detail record (maximum of twenty (20) instructions per allocation). These can be used for sells of securities bought previously in multiple lots or buys of securities used to cover previous short sells.*

3.4 Multi-Trade or Single Trade Allocations with Header and Trailer Record - Comma Delimited

The modified, comma delimited Multi-Trade or Single Trade Allocations with Header and Trailer Record file format will be accepted for import per the following:

3.4.1 In General:

- Contains a header, detail and trailer record.
- If providing lot instructions, contains a maximum of twenty (20) specified lots instructions per allocation.
- Contains a single trade allocation or multiple trade allocations.
- Data entry is in CAPITAL Letters.
- The column "Max Width" specified in the file layout cannot be exceeded.
- Contains a file naming convention of DDDDDDDD_yyyymmddhhmmss.EQA. DDDDDDDD is the Master Account Number.
- The file is saved as a comma-delimited file (.csv extension).
- Allocations are accepted on Trade Day only.

3.4.2 Without Lot Instructions:

- Requires the mandatory fields in the header, detail and trailer records to be completed.
- New Detail Record Field 4, Lot Selection Method, will be comma delimited.

3.4.3 With Lot Instructions:

- Requires the mandatory fields in the header, detail and trailer records to be completed.
- New Detail Record Field 4, Lot Selection Method, will be a constant, VSP. In the future this field will allow an alternative lot selection method.
- Requires the insertion of Specified Lot Instruction records. Fields are:
 - Record Type: EV (Always)
 - Original Purchase Date: Required
 - Quantity: Required
 - Original Purchase Price: Optional
- Specified Lot Instruction records are inserted after the Detail record.

3.4.4 Schwab Allocations File – Recommended File Naming Convention

Recommended File Naming Convention:	DDDDDDDD_yyyymmddhhmmss.EQA
Example:	08000000_200903051342.EQA

3.5 Record Configuration – Multi-Trade or Single Trade Allocations with Header and Trailer Record - Comma Delimited

Header Record – Multi-Trade or Single Trade Allocations with Header and Trailer Record

Order	Max Width	Content	Specifications	Valid Values / Examples / Instructions
1	2	Record Type	Alphanumeric - Always EH	EH
2	8	Transmission Date	Date - yyyymmdd	20100707

3	8	Master Account #	Numeric; Leading 0s if applicable	08000000 - 08999999
4	3	Action Code	Alphanumeric	B, BUY, BY, S, SL, SS, SSE, BCO, BPO, BCC, BPC, SCO, SPO, SCC, SPC
5	21	Security Symbol	Alphanumeric	Equity example: XXX Option example: XXXX 100522C00020000
6	13	Average Price	Numeric - 8Left.4Right	12345678.1234
7	8	Trade Date	Date - yyyyymmdd	20100707

Detail Record – Multi-Trade or Single Trade Allocations with Header and Trailer Record

Order	Max Width	Content	Specifications	Valid Values / Examples / Instructions
1	2	Allocation Record Type	Alphanumeric - Always EA	EA
2	8	Sub Account #	Numeric; Leading 0s if applicable	10000000 - 99999999
3	10	Share Quantity	Numeric - Whole Numbers; No Fractions	1234567890
4	10	Lot Selection Method	Alphanumeric; Currently VSP only; Must be included if specifying lots.	VSP

Lot Instruction Record – Multi-Trade or Single Trade Allocations with Header and Trailer Record

Order	Max Width	Content	Specifications	Valid Values / Examples / Instructions
1	2	Lot Instruction Record Type	Alphanumeric - Always EV	EV
2	10	Purchase Date	Date - mm/dd/yyyy	07/07/2010
3	16	Share Quantity	Numeric -9Left.6Right	123456789.123456
4	18	Purchase Price	Numeric - 7Left.8Right	1234567.12345678

Trailer Record- Multi-Trade or Single Trade Allocations with Header and Trailer Record

Order	Max Width	Content	Specifications	Valid Values / Examples / Instructions
1	2	Trailer Record Type	Alphanumeric - Always ET	ET
2	5	Number of Allocation Detail Records	Numeric; leading 0 if applicable	3
3	9	Total Share Quantity	Numeric; leading 0 if applicable	14140

3.5.1 Sample Data Format: Multi-Trade or Single Trade Allocations with Header and Trailer Record - Comma Delimited

<u>123456789012345678901234567890123456789012345678901234567890</u>
EH,20100707,DDDDDDDD,S,XXX,00000093.0600,20100707
EA,DDDDDDDD,150,VSP
EV,06/05/2004,100,0000074.331
EV,01/23/2002,50,0000083.15000078
EA,DDDDDDDD,75
EA,DDDDDDDD,100,VSP
EV,06/05/2001,20,0000075.37004321
EV,01/23/2002,25,0000083.15
EV,06/05/2003,30,0000074.32061
EV,01/23/2004,15,0000053.15235
EV,01/23/2005,10,0000052.25
EA,DDDDDDDD,50,VSP
EV,06/05/2001,20,0000049.38427
EV,06/05/2003,30,0000063.35
EA,DDDDDDDD,75
ET,00005,000000450 (Single ends here.)
EH,20100707,DDDDDDDD,S,XXX,00000093.0600,20100707
EA,DDDDDDDD,150,VSP
EV,06/05/2004,100,0000074.33
EV,01/23/2002,50,0000083.15
EA,DDDDDDDD,75
EA,DDDDDDDD,100,VSP
EV,06/05/2001,20,0000075.370011
EV,01/23/2002,25,0000083.15004
EV,06/05/2003,30,0000074.321
EV,01/23/2004,15,0000053.151
EV,01/23/2005,10,0000052.25
EA,DDDDDDDD,50,VSP
EV,06/05/2001,20,0000049.38
EV,06/05/2003,30,0000063.3512
EA,DDDDDDDD,75
ET,00005,000000450

3.5.2 Sample Data Format as Shown in Microsoft® Excel: Multi-Trade or Single Trade Allocations with Header and Trailer Record – Comma Delimited

	A	B	C	D	E	F	G	H	I
1	EH	20100707	DDDDDDDD	S	XXX	93.06	20100707		
2	EA	DDDDDDDD	150	VSP					
3	EV	6/5/2004	100	74.331					
4	EV	1/23/2002	50	83.15000078					
5	EA	DDDDDDDD	75						
6	EA	DDDDDDDD	100	VSP					
7	EV	6/5/2001	20	75.37004321					
8	EV	1/23/2002	25	83.15					
9	EV	6/5/2003	30	74.32061					
10	EV	1/23/2004	15	53.15235					
11	EV	1/23/2005	10	52.25					
12	EA	DDDDDDDD	50	VSP					
13	EV	6/5/2001	20	49.38427					
14	EV	6/5/2003	30	63.35					
15	EA	DDDDDDDD	75						
16	ET	5	450						
17	EH	20100707	DDDDDDDD	S	XXX	93.06	20100707	(Single Ends Here)	
18	EA	DDDDDDDD	150	VSP					
19	EV	6/5/2004	100	74.33					
20	EV	1/23/2002	50	83.15					
21	EA	DDDDDDDD	75						
22	EA	DDDDDDDD	100	VSP					
23	EV	6/5/2001	20	75.370011					
24	EV	1/23/2002	25	83.15004					
25	EV	6/5/2003	30	74.321					
26	EV	1/23/2004	15	53.151					
27	EV	1/23/2005	10	52.25					
28	EA	DDDDDDDD	50	VSP					
29	EV	6/5/2001	20	49.38					
30	EV	6/5/2003	30	63.3512					
31	EA	DDDDDDDD	75						
32	ET	5	450						
33									

3.5.3 Importing a Schwab Allocation File – Single or Multi-Trade Allocations with Header and Trailer Record – Comma Delimited

Web Trading allows an allocation file to be imported after a block trade has been submitted using the steps outlined below:

1. Create a file in comma-delimited format to be imported.

2. Launch Web Trading from the **Trade** tab of schwabadvisorcenter.com (formerly schwabinstitutional.com).
3. Once in Web Trading, go to the Schwab Trade Allocation Worksheet.
4. On the Schwab Trade Allocation Worksheet, click **Import**.
5. In the dialog box that appears, locate the drive where the file resides.
6. Select the file you want to import, and then click **OPEN**.
7. A dialog box will appear if it is a multi-trade file. If it is a single trade the file will be imported into the Allocation Worksheet. If it is a multi-trade file go to the next step. If it is a single trade file go to Step 11.
8. Multi-Trade: The dialog box will ask if you want to preview the allocations or submit them without viewing the allocation details in the blotter. If you select **Preview**, the allocations will fill the blotter on the Allocation Worksheet. There will be a separate “page” for each trade’s allocations that you can scroll between. The allocations can be modified and/or submitted the same way as allocations created in Web Trading.
9. If you select **Preview**, you will also have the option to add or change your lot instructions.
10. If you select **Submit**, the allocations will be submitted and a success message will display.
11. On the Worksheet, click the **Validate** button to verify the correctness of the data.
12. Then click the **Submit** button to send the allocation to Schwab. You will be given a choice to submit all the allocations you uploaded, or simply those on the worksheet you’re currently viewing.

3.6 Creating Schwab Single Trade Allocations File without Header and Trailer Record Format Using Microsoft® Excel

To create a Schwab standard format text file in Excel, first enter the data into an Excel spreadsheet. Then save the spreadsheet as a comma delimited (.csv) file. This section details the steps to be followed to create the text file. It is very important to follow this format exactly.

1. Open a new Excel spreadsheet document.
2. Using all capital letters, enter order data into the spreadsheet. All required data must be included. Optional fields may be left blank.
3. Do not exceed the column width specified in the file layout. Right-justify the entire spreadsheet.
4. Enter the detail data.
5. Enter the Lot Instructions after the detail data; place each instruction on a separate row up to a maximum of twenty instructions.
6. Ensure that all required data is present and all columns are aligned and configured correctly.
7. Save the file as a comma-delimited file (.csv extension).
 - In the File menu, select **Save As**.
 - Under Save as type, select **CSV (Comma delimited)** and click **Save**.

The file is now ready to import using the Web Trading import feature.

Note: If you want to open the saved file in MS Notepad, you must rename it with a .txt extension (For example, tradefile.txt.) so Notepad can recognize it. DO NOT re-save the file as a text file, because that will change its format.

3.7 Specifications: Schwab Single Trade Allocations File without Header and Trailer Record Format – Comma Delimited

Schwab also supports allocation files that do not contain header or trailer records. The format may only contain allocation detail and lot instruction records.

Note: If you want to provide Lot Instructions, you must insert each Lot Instruction record after the detail record (maximum of twenty (20) instructions per allocation). These can be used for sells of securities bought previously in multiple lots or buys of securities used to cover previous short sells.

3.7.1 In General:

- Contains a single trade allocation.
- Contains a maximum of twenty (20) specified lots instructions.
- Contains no header and trailer records, detail only.
- Data entry is in CAPITAL Letters.
- The column “Max Width” specified in the file layout cannot be exceeded.
- Contains a file naming convention of DDDDDDDD_yyyymmddhhmmss.EQA. DDDDDDDD is the Master Account Number.
- The field is saved as a comma-delimited file (.csv extension).
- Allocations are accepted on Trade Day only.

3.7.2 Without Lot Instructions:

- Requires the mandatory fields in the Detail record to be completed.
- New Detail Record Field 4, Lot Selection Method, will be comma delimited.

3.7.3 With Lot Instructions:

- Requires the mandatory fields in the Detail record to be completed.
- New Detail record Field 4, Lot Selection Method, will be a constant VSP. In the future this field will allow an alternative lot selection method.
- Requires the insertion of specified Lot Instruction records. Fields are:
 - Record Type: EV (Always)
 - Original Purchase Date: Required
 - Share Quantity: Required
 - Original Purchase Price: Optional
- Specified Lot Instruction records are inserted after the Detail Record.

3.7.4 Record Configuration – Schwab Single Trade Allocations File without Header and Trailer Record Format – Comma Delimited

Header Record / Single Trade Allocations without Header and Trailer Record

None

Detail Record/ Single Trade Allocations without Header and Trailer Record

Order	Max Width	Content	Specifications	Valid Values / Examples / Instructions
1	2	Allocation Record Type	Alphanumeric - Always EA	EA
2	8	Sub Account #	Numeric; Leading 0s if applicable	10000000 - 99999999
3	10	Share Quantity	Numeric - Whole Numbers; No Fractions	1234567890
4	10	Lot Selection Method	Alphanumeric; Currently VSP only; Must be included if specifying lots.	VSP

Lot Instruction Record/ Single Trade Allocations without Header and Trailer Record

Order	Max Width	Content	Specifications	Valid Values / Examples / Instructions
1	2	Lot Instruction Record Type	Alphanumeric - Always EV	EV
2	10	Purchase Date	Date - mm/dd/yyyy	07/07/2010
3	16	Share Quantity	Numeric -9Left.6Right	123456789.123456
4	18	Purchase Price	Numeric - 7Left.8Right	1234567.12345678

Trailer Record / Single Trade Allocations without Header and Trailer Record

None

3.7.5 Sample Data Format: Schwab Single Trade Allocations File without Header and Trailer Record Format – Comma Delimited

123456789012345678901234567890123456789012345678901234567890
EA, DDDDDDDD, 150, VSP
EV, 06/05/2010, 100, 0000074.32001238
EV, 01/23/2010, 50, 0000083.15
EA, DDDDDDDD, 500

3.7.6 Sample Data Format as shown in Microsoft® Excel: Schwab Single Trade Allocations File without Header and Trailer Record Format – Comma Delimited

	A	B	C	D	E	F	G	H	I
1	EA	DDDDDDDD	150	VSP					
2	EV	6/5/2010	100	74.32001238					
3	EV	1/23/2010	50	83.15					
4	EA	DDDDDDDD	500						
5									
6									

3.8 Importing a Schwab Single Trade Allocations File without Header and Trailer Record Format – Comma Delimited

Web Trading allows any block trade order to be allocated in a separate file and imported using the comma-delimited file format using the steps outlined below. This file format does not require a header or trailer record because of the method used to allocate the block trade.

1. Create an allocation file.
2. Create and submit a block trade via Web Trading.
3. After submitting the block trade, retrieve the details using either the **Order Status** tab or the **Allocations** tab.
4. Highlight the block trade order and click **Allocate**.
5. On the Schwab Allocation Worksheet, click **Import**.
6. In the dialog box that appears, locate the drive where the file resides.
7. Select the file you want to import, then click **OPEN**. The allocations fill the blotter on the Allocation Worksheet. They can be modified the same way as allocations created in Web Trading.
8. You will have the option to add or change your lot instructions.
9. On the Worksheet click the **Validate** button to verify the correctness of the data.
10. Then click the **Submit** button to send the allocation to Schwab.

4. Schwab Trade Allocations –Fixed Width Format

4.1 Schwab Allocations in Fixed Width Format

The "Schwab Allocations in Fixed Width Format" section provides instructions for creating an imported allocation file. The Schwab Allocation file (fixed width format) is submitted on Trade Day and contains an allocation for a single trade with or without lot instructions.

In all cases, files greater than 35,000 allocations will not be accepted by Web Trading. For files greater than 35,000, please divide the allocations into at least two files with no one file containing more than 35,000 allocations.

Each sub-account allocation can include a maximum of 20 lot instructions. Lot instructions are not currently accepted for Mutual Funds and Options.

TIP #1: If you imported the fixed width Allocations file into the Schwab upload application, the application will not pre-validate the Lot Instruction records.

You will be notified if there are errors in the file. You will also be able to select, change and submit your lot instructions in the Web Trading's Order Status tab.

TIP #2: If you imported the fixed width Allocations file into the Schwab upload application and the Lot Instructions Quantity is Less than the Order Quantity you will be notified. You will have the option to apply the remainder per your default accounting method or provide the instructions.

You will also be able to select, change and submit your lot instructions in the Web Trading's Order Status tab.

4.2 Specifications: Schwab Allocation File in Fixed Width Format

This file format is used for importing a single Schwab securities allocation list(s) in one file. This file format can be used to allocate a block trade that has already been submitted.

Note: If you want to provide Lot Instructions, you must insert each Lot Instruction record after the detail record (maximum of twenty (20) instructions per allocation). These can be used for sells of securities bought previously in multiple lots or buys of securities used to cover previous short sells.

4.3 Single Trade Allocations File in Fixed Width Format

The fixed width format Single Trade Allocations file will be accepted for import per the following:

4.3.1 In General:

- Contains a maximum of twenty (20) specified lot instructions per allocation.
- Contains a header (1), detail (one to multiple) and trailer record (1).
- Data entry is in CAPITAL Letters.
- The column width specified in the file layout cannot be exceeded.
- Contains a file naming convention of DDDDDDDD_yyyymmddhhmmss.EQA. DDDDDDDD is the Master Account Number.
- The file is saved as a text, space delimited file.
- Allocations are accepted on Trade Day only.

4.3.2 Without Lot Instructions:

- Requires the mandatory fields in the header, detail and trailer records to be completed.
- New Detail Record Field 4, Lot Selection Method will be space delimited.

4.3.3 With Lot Instructions:

- Requires the mandatory fields in the header, detail and trailer records to be completed.

- New Detail Record Field 4, Lot Selection Method will be a constant VSP. In the future this field will allow an alternative lot selection method.
- Requires the insertion of Specified Lot Instruction Records. Fields are:
 - Record Type: EV (Always)
 - Original Purchase Date: Required
 - Quantity: Required
 - Original Purchase Price: Optional
- Specified Lot Instruction Records are inserted after the Detail Record.

4.3.4 Schwab Allocations File – Recommended File Naming Convention

Recommended File Naming Convention:	DDDDDDDD_YYYYMMDDHHMMSS.EQA
Example:	08000000_200903051342.EQA

4.4 Record Configuration – Single Trade Allocations File in Fixed Width Format

Header Record – Single Trade Allocations File in Fixed Width Format

Offset	Max Width	Content	Specifications	Valid Values / Examples / Instructions
1-2	2	Record Type	Alphanumeric - Always EH; Left Justified; No space after	EH
3-10	8	Transmission Date	Date – YYYYMMDD; Left Justified; No space after	20100707
11-18	8	Master Account #	Numeric; Leading 0s if applicable; Right Justified	08000000 - 08999999
19-21	3	Action Code	Alphanumeric Left Justified; Space after	B, BUY, BY, S, SL, SS, SSE, BCO, BPO, BCC, BPC, SCO, SPO, SCC, SPC
22-42	21	Security Symbol	Alphanumeric Left Justified; Space after	Equity example: XXX Option example: XXXX 100522C00020000
43-55	13	Average Price	Numeric - 8Left.4Right; Leading 0's and Trailing 0's	12345678.1234
56-63	8	Trade Date	Date – YYYYMMDD; Left Justified; No space after	20100707

Detail Record - Single Trade Allocations File in Fixed Width Format

Offset	Max Width	Content	Specifications	Valid Values / Examples / Instructions
1-2	2	Allocation Record Type	Alphanumeric - Always EA; Left Justified; No space after	EA
3-10	8	Sub Account #	Numeric - Leading 0s if applicable; Right Justified	10000000 - 99999999
11-20	10	Share Quantity	Numeric - Whole Numbers – No Fractions; Leading 0s if applicable; Right Justified	0123456789
21-30	10	Lot Selection Method	Alphanumeric - Currently VSP only; Must be included if specifying lots; Left Justified; Fill with Trailing Spaces	VSP

Lot Instruction Record - Single Trade Allocations File in Fixed Width Format

Offset	Max Width	Content	Specifications	Valid Values / Examples / Instructions
1-2	2	Lot Instruction Record Type	Alphanumeric - Always EV; Left Justified; No space after	EV
3-12	10	Purchase Date	Date - mm/dd/yyyy; Left Justified; No space after	07/07/2010
13-28	16	Share Quantity	Numeric - 9Left.6Right; Leading 0s and Trailing 0s; Right Justified	123456789.123456
29-44	16	Purchase Price	Numeric - 7Left.8Right; Leading 0s and Trailing 0s; Right Justified	1234567.12345678

Trailer Record- Single Trade Allocations File in Fixed Width Format

Offset	Max Width	Content	Specifications	Valid Values / Examples / Instructions
1-2	2	Trailer Record Type	Alphanumeric - Always ET; Left Justified; No space after	ET
3-7	5	Number of Allocation Detail Records	Numeric - Leading 0 if applicable; Right Justified	00003
8-16	9	Total Share Quantity	Numeric - leading 0 if applicable; Right Justified	000014140

4.4.1 Sample Data Format: Single Trade Allocations File in Fixed Width Format

<u>123456789012345678901234567890123456789012345678901234567890</u>
EH20100707DDDDDDDDDS XXX 00000093.060020100707
EADDDDDDDDD0000000150VSP
EV06/05/20090000000100.0000000000012.12345600
EV01/23/20020000000050.0000000000015.50345000
EADDDDDDDDD00000000075
EADDDDDDDDD00000000100VSP
EV06/05/20100000000020.0000000000022.25004000
EV01/23/20020000000025.0000000000055.45001234
EV06/05/20030000000030.0000000000072.35004321
EV01/23/20040000000015.0000000000043.45005432
EV01/23/20050000000010.0000000000036.95006543
EADDDDDDDDD00000000050VSP
EV06/05/20010000000020.0000000000032.15008765
EV06/05/20030000000030.0000000000026.10001234
EADDDDDDDDD00000000075
ET000050000000450

4.4.2 Importing a Single Trade Allocations File in Fixed Width Format

The same process remains in place for those of you who import a file in fixed width format.

Note: Upon import, the records in this file cannot be edited. You will be contacted by Schwab if the file contains record errors.

5. Schwab Lot Instructions File

Schwab's Web Trading applet has a new tab called Lot Instructions, which will allow Advisor Services clients to import a file containing bulk lot instructions for trades already placed. Instructions must be submitted on or between Trade Day through Settlement Date.

This file is the same as the Schwab Trade Order Detail Format file above with the following required changes:

- Field 27, Trade Date, is an optional field. It must be completed or comma delimited.
- Field 29, Submission Date is a required field.
- Field 28, Schwab Order Number is a Schwab defined field. It must be comma delimited upon import. Upon export or save it will include the Schwab Order after the file has been validated within the Web Trading applet.

In all cases Web Trading does not accept files containing more than 10,000 trade orders. Files containing more than 10,000 records should be divided into at least two files for import with no one file having more than 10,000 trade orders.

Each equity trade order can include a maximum of 20 lot instructions. Lot instructions are not currently accepted for Mutual Funds and Options.

5.1 Schwab Lot Instructions File in Comma Delimited Format

This section describes how to create a lot instructions file in Schwab's standard format for importing into Web Trading using the comma-delimited format. Once a file has been imported into Web Trading, the file can be validated, and submitted.

The Lot Instructions file can be imported from trade day through settlement day. Fields are comma delimited. All "blank" fields must have a comma inserted per the instructions below.

Note: *The Lot Instructions Tab does not allow records to be edited. Records containing format errors will be highlighted in the tab. The warning or error message displays when the record is clicked. The record can be edited in the Order Status tab, or by deleting the record and uploading a new file with the corrected record.*

TIP #1: If the comma delimited Lot Instructions file includes lot instructions with any of the following errors, the system will import the Detail record but not the Lot Instruction records. Errors are:

- Incorrect Format in Lot Instruction Field
- Required Lot Instructions Field Missing Data
- Lot Instructions Exceeds 20
- Invalid Date, Quantity or Original Purchase Price in Lot Instruction Field

The system will not submit records with errors and upon submission the system will leave the error records in the blotter. You will be able to select, change and submit your Lot Instructions in the Web Trading's Order Status tab or delete the record and upload a new file with the corrected records in the Lot Instructions tab.

TIP #2: If the comma delimited Lot Instructions file Lot Instructions Quantity is Less than the Order Quantity you will be provided the option to apply the remaining instructions per your default accounting method.

If you do not elect this method, the lot instructions will not be imported.

You will be able to select, change and submit your Lot Instructions in the Web Trading's Order Status tab or delete the record and upload a new file with the corrected records in the Lot Instructions tab.

TIP #3: If the comma delimited Lot Instruction file Lot instructions Quantity is greater than the Order Share Quantity the lot instructions will be processed in the order it was submitted up until the executed order quantity.

If you do not elect this method, the lot instructions will not be imported. You will be able to select and submit your Lot Instructions in the Web Trading's Order List tab.

TIP #4: If the comma delimited Lot Instructions file Detail Record Field 30, Lot Instruction Method, does not contain VSP, the Lot Instructions will not be imported:

You will be able to select, change and submit your Lot Instructions in the Web Trading applet, Order Status tab or delete the record and upload a new file with the corrected records.

5.2 Creating Schwab Lot Instructions File in Comma Delimited Format Using Microsoft® Excel

To create a Schwab standard format text file in Excel, first enter the data into an Excel spreadsheet. Then save the spreadsheet as a comma-delimited (.csv) file. This section details the steps to be followed to create the text file.

Note: It is very important to follow this format exactly.

1. Open a new Excel spreadsheet document.
2. *Using all capital letters*, enter order data into the spreadsheet. All required data must be included. Optional fields may be left blank.
3. Do not exceed the column "Max Width" specified in the file layout.
4. In Row 1 of the spreadsheet, enter the detail of the first trade order.

5. Insert the first Lot Instruction in Row 2. Use a separate row for each instruction. Maximum Lot Instructions per trade order is twenty (20).
6. For subsequent rows follow the same process.
7. Ensure trade order detail and lot instructions data sections are correctly placed and all required data is present.
8. Save the file as a comma-delimited file (.csv extension).
 - In the File menu, select **Save As**.
 - In the Save as type drop-down menu, select **CSV (Comma delimited)** and click **Save**.

The file is now ready to import using the Web Trading import feature.

Note: If you want to open the saved file in Microsoft® Notepad, you must rename it with a .txt extension (for example, "tradefile.txt") so applications such as Notepad can recognize the file. DO NOT re-save the file as a text file—it will change the file's format.

5.3 Specifications: – Schwab Lot Instructions File in Comma Delimited Format

The Schwab Lot Instructions comma delimited file format will be accepted for import per the following:

5.3.1 In General:

- Contains one to multiple detail records with accompanying lot instruction records.
- Allows a maximum of twenty (20) specified lots instructions per order.
- Data entry is in CAPITAL Letters.
- The column "Max Width" specified in the file layout cannot be exceeded.
- The file is saved as a comma-delimited file (.csv extension).
- Lot Instructions can be submitted from Trade Day through Settlement Day.

5.3.2 Detail Record:

- Requires the mandatory fields to be completed.
- Requires the optional fields to be comma delimited.
- Fields 1 through 4, Sub-Account, Transaction Code, Quantity/Amount/ Shares/ Face Value and Security Symbol are required fields.
- If Price Type (field 5) is not specified the imported orders will default to market orders.
- Limit Price (field 6) is required if the Price Type is Limit or Stop Limit.
- If Time Limit (field 7) is not specified the imported orders will default to Day.
- Field 8, Security Type is a required field.
- Stop Price (field 9) is required if the Price Type is Stop or Stop Limit.
- Fields 10 through 18 are optional fields and must be completed or comma delimited.
- Fields 19 through 26 are required to be comma delimited. Data from the Web Trading applet is inserted into these fields when the Excel export function is engaged.
- Field 27, Trade Date, is an optional field. It must be completed or comma delimited.
- Field 28, Schwab Order Number is an optional field. It must be completed or comma delimited.
- Field 29, Submission Date is a required field.
- Field 30 must include VSP. In the future this field will allow an alternative lot selection method.

5.3.3 Record Configuration – Schwab Lot Instructions File in Comma Delimited Format

Header Record / Schwab Lot Instructions File

(None)

Detail Record / Schwab Lot Instructions File

Order	Max Width	Content	Specifications	Valid Values / Examples / Instructions
1	8	Sub Account #	Numeric - Leading 0s if applicable	10000000 - 99999999
2	10	Transaction Code	Alphanumeric	<p>Equity - B, BUY, BY, S, SELL, SL, SELL LONG, SS, SELL SHORT, SELLSHORT</p> <p>Option - BO, BUY OPEN, BUYOPEN, BC, BUY, CLOSE, BUYCLOSE, SO, SELL OPEN, SELLOPEN, SC, SELL CLOSE, SELLCLOSE</p> <p>Mutual Fund - B, BUY, BY, BD, BX, BUY+FEE, BY+FEE, S, SELL, SL, SP, SELL%, SL%, S%, SA, SELL ALL, SELLALL, SD, SELLDOLLAR, SX, SELL+FEE, SL+FEE, S+FEE</p> <p>Above includes all codes; use transaction codes for the valid security type:</p> <p>2011 - Equity and ETF 2012 – Mutual Funds and Dividend Reinvestment Plans 2013 – All others (Fixed Income and Options)</p>

Order	Max Width	Content	Specifications	Valid Values / Examples / Instructions
3	12	Quantity/Amount/ Shares	Numeric	<p>Equity – Buy: 6 digits to left of decimal. Sell, Sell Short: Whole number or fraction; 6 digits to left of decimal, 4 to right.</p> <p>Option – All actions: whole number; 6 digits to left of decimal.</p> <p>Mutual Fund – All actions: whole number or fraction; 6 digits to left of decimal, 4 to right.</p> <p>Extended Hours – Quantity limit for Extended Hours trades = 5,000 shares.</p>
4	21	Security Symbol	Alphanumeric	<p>Equity example: XXX Option example: XXXX 100522C00020000</p> <p>Extended Hours Trading symbols must have “.E” appended (example: CMGI.E)</p>
5	10	Price Type	Alphanumeric	<p>MARKET, MKT, M, LIMIT, LMT, L, STOP, S, STOPLIMIT, SL BLANK=MARKET Extended Hours – Must be LIMIT, LMT or L</p>
6	12	Limit Price	Numeric	<p>Equity – Whole number or fraction; 6 digits to left of decimal, 4 to right. Option – Whole number or fractions: 6 digits to left of decimal, 4 to right.</p> <p>This field must be blank if order Price Type is Market.</p>
7	16	Time Limit	Alphanumeric	<p>GTC, G, DAY, D, IMMEDIATECANCEL, IMC, I, MORNING (for Pre-Market orders), N (for AHT orders), NIGHT (for AHT orders) P (for Pre-Market orders); BLANK = DAY</p>

Order	Max Width	Content	Specifications	Valid Values / Examples / Instructions
8	12	Security Type	Alphanumeric	EQUITY, EQ, E, OPTION, OP, O, MUTUALFUND, MF, M Pre & Post Market = ECN, EQUITY.ECN BLANK = EQUITY
9	12	Stop Price	Numeric	Equity – Whole number or fraction; 6 digits to left of decimal, 4 to right. Option – Whole number or fractions: 6 digits to left of decimal, 4 to right. This field must be blank if order Price Type is Market.
10	3	All or None	Alphanumeric	YES, Y, NO, N; BLANK = No This field is mutually exclusive with Minimum Quantity/Minimum Face Value.
11	12	Minimum Quantity	Numeric	Equity – Whole number < quantity and > 100; 6 digits to left of decimal. Option – Whole number < quantity; 6 digits to left of decimal. This field is mutually exclusive with All or None.
12	3	Do Not Reduce	Alphanumeric	YES, Y, NO, N; BLANK = No
13	20	Dividend Reinvestment	Alphanumeric	1, CC, CASHCASH, PAYINCASH, PIC, P, C, NO, N 2, RR, REINVESTREINVEST, REINVESTINFUND, RIF, R, YES, Y 3, CR, CASHREINVEST BLANK = No for EQs/Reinvest for MFs
14	8	Transaction Fee	Alphanumeric	INCLUDED, I, ADD, A BLANK = INCLUDED
15	5	Swap to Fund	Alphanumeric	Example: XXXXX
16	1	Do Not Submit	Numeric	BLANK = Submit order; 1 (one) = Do Not Submit order

Order	Max Width	Content	Specifications	Valid Values / Examples / Instructions
17	8	Linked Trade (Allocation Group ID)	Numeric	Any numeric value between 1 and 99999999
18	8	New Money	Numeric	Available for mutual fund orders only: 5 places to the left of the decimal and two places to the right of the decimal. Minimum value is 0.01 and maximum value is 99999.99. BLANK=No dollar value
19		Executing broker		Comma Delimit, Specific only when Exporting from Schwab
20		InitiatorId		Comma Delimit, Specific only when Exporting from Schwab
21		Discretionary		Comma Delimit, Specific only when Exporting from Schwab
22		TraderId		Comma Delimit, Specific only when Exporting from Schwab
23		OICustomColumn1		Comma Delimit, Specific only when Exporting from Schwab
24		OICustomColumn2		Comma Delimit, Specific only when Exporting from Schwab
25		OICustomColumn3		Comma Delimit, Specific only when Exporting from Schwab
26		OICustomColumn4		Comma Delimit, Specific only when Exporting from Schwab
27	8	Trade Date	Date - yyyyymmdd	20100707

Order	Max Width	Content	Specifications	Valid Values / Examples / Instructions
28	8	Schwab Order No	Numeric	Comma Delimit, Schwab Order No is inserted when Exporting from Schwab
29	8	Submission Date	Date - yyyymmdd	20100707
30	10	Lot Selection Method	Alphanumeric	VSP

Lot Instructions Record / Schwab Lot Instructions File

Order	Max Width	Content	Specifications	Valid Values / Examples / Instructions
1	2	Record Type	Alphanumeric - Always EV	EV
2	10	Purchase Date	Date - mm/dd/yyyy	07/07/2010
3	16	Share Quantity	Numeric - 9Left.6Right	123456789.123456
4	18	Purchase Price	Numeric - 7Left.8Right	1234567.12345678

Trailer Record / Schwab Lot Instructions File

(None)

5.3.4 Sample Data Format: Schwab Lot Instructions File in Comma Delimited Format

```

12345678901234567890123456789012345678901234567890123456789012345
DDDDDDDD,SELL,2500,XXXX,MARKET,,DAY,EQUITY,,,,,,,,,,,,,,,,,20100707,,
20100707,VSP
EV,06/05/2008,500,89.12345678
EV,07/26/2009,750,43.7658
EV,11/15/2009,750,78.22
EV,04/04/2010,500,83.899
DDDDDDDD,SELL,1050,XXXX,MARKET,,DAY,EQUITY,,,,,,,,,,,,,,,,,20100707,,
20100707,VSP
EV,06/05/2004,1000,0000074.3200
EV,01/23/2002,50,12.1500

```

5.3.5 Sample Data Format as Shown in Microsoft® Excel: Schwab Lot Instructions File in Comma Delimited Format

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	U	V	W	X	Y	Z	AA	AB	AC	AD
1	DDDDDDDD	SELL	2500	XXXX	MARKET		DAY	EQUITY																			20100707		20100707	VSP
2	EV	06/5/2008	500	89.12345678																										
3	EV	07/26/2009	750	43.7658																										
4	EV	11/15/2009	750	78.22																										
5	EV	04/4/2010	500	83.899																										
6	DDDDDDDD	SELL	1050	XXXX	MARKET		DAY	EQUITY																			20100707		20100707	VSP
7	EV	06/5/2004	1000	74.32																										
8	EV	01/23/2002	50	12.1500																										

6. Prime Broker

The Prime Broker section provides file format instructions for two types of formats supported by the Web Trading applet. Prime Broker allocations can be imported using either comma-delimited file or fixed file formats.

Additionally, you can import a file containing allocations for a single Prime Broker trade, or a file containing allocations for multiple Prime Broker trades.

Instructions for creating all formats are listed below. Instructions for importing the various file types are included at the bottom of each section.

6.1 Creating Prime Broker Allocations in Comma-delimited File Format – Single or Multiple Allocation(s) Using Microsoft® Excel

To create a Schwab standard format text file in Excel, first enter the data into an Excel spreadsheet. Then save the spreadsheet as a comma-delimited (.csv) file. This section details the steps to be followed to create the text file.

Note: It is very important to follow this format exactly.

1. Open a new Excel spreadsheet document.
2. *Using all capital letters*, enter order data into the spreadsheet. All required data must be included. Optional fields may be left blank.
3. Do not exceed the column width specified in the file layout.
4. In Row 1 of the spreadsheet, enter the detail of the first trade order. In rows 2 onward, enter subsequent trade orders.

Note: For multiple trade allocations, repeat steps 2–4 directly below the original order to duplicate this process for each order you want included in the allocation file.

5. Ensure trade order data sections are correctly placed and all required data is present
6. Save the file as a comma-delimited file (.csv extension).
 - In the File menu, select **Save As**.
 - In the Save as type drop-down menu, select **CSV (Comma delimited)** and click **Save**.

The file is now ready to import using the Web Trading import feature.

Note: If you want to open the saved file in MS Notepad, you must rename it with a .txt extension (for example, "tradefile.txt") so applications such as Notepad can recognize the file. DO NOT re-save the file as a text file—it will change the file's format.

6.2 Specifications: Prime Broker Allocations in Comma-delimited File Format – Single or Multiple Allocation(s)

This file format is used for importing a Prime Broker allocation list into Web Trading.

6.2.1 Prime Broker Allocations – Recommended File Naming Convention

Recommended File Naming Convention:	DDDDDDDD_yyyymmddhhmmss.PBR
Example:	08000000_200903052314.PBR

6.2.2 Record Configuration – Header, Detail, Trailer

Header Record

Order	Max Width	Content	Specifications	Valid Values/Examples/Instructions
1	2	Record Type	Always PH	PH
2	8	Transmission Date	yyyymmdd	20090317
3	8	Master Account #		08000000 - 08999999
4	25	Executing Broker/Dealer		FIRM NAME
5	25	Clearing Broker		CLEARING BROKER
6	4	Clearing Agent DTC		0000 TO 9999
7	6	Action		BUY or SELL
8	8	Trade Date	yyyymmdd	20090317
9	8	Settlement Date	yyyymmdd	20090317
10	9	CUSIP #		DDDDDDXXD
11	9	Security Symbol		XXXXXXXXXX
12	9	Capacity of Executing Broker		AGENT, PRINCIPAL, or N\A
13	4	Exchange Where Executed		EXCH
14	25	Security Description		US TREAS NOTE

Detail Record

Order	Max Width	Content	Specifications	Valid Values/Examples/Instructions
1	8	Account Number		10000000 - 99999999
2	9	Share Quantity		00000840

Trailer Record

Order	Max Width	Content	Specifications	Example
1	2	Record Type	Always PT	PT
2	5	Number of Allocation Detail Records		00003
3	3	IPO or New Issue		YES or NO
4	9	Total Qty of Allocated Shares		000012345
5	14	Average Price	Four decimal places	25.6250
6	13	Principal	Two decimal places	256250.00
7	9	Interest	Two decimal places	0.00
8	9	Not Used	Two decimal places	0.00
9	9	Commission	Two decimal places	894.64
10	9	Other Fee	Two decimal places	0.00
11	13	Net Amount	Two decimal places	257144.65
12	56	Prime Broker Notes	Alphanumeric text	CLIENT REBAL

6.2.3 Sample Data Format: Prime Broker Allocations in Comma-delimited File Format— Single Trade Allocation

123456789012345678901234567890123456789012345678901234567890123456789012345678901234567890123456
PH,20090317,DDDDDDDD,XXXXXXXX,XXXXXXXX,DDDD,BUY,20090317,20090128,DDDDDDXXD,XXX,AGENT,EXCH,US TREAS NOTE DDDDDDDD,840 DDDDDDDD,860 PT,2,NO,1700,25.625,256250.00,0.00,0.00,894.64,0.00,257144.65,CLIENT REBAL

6.2.4 Sample Data Format: Prime Broker Allocations in Comma-delimited File Format— Multiple Trade Allocation

123456789012345678901234567890123456789012345678901234567890123456789012345678901234567890123456
PH,20030826,DDDDDDDD,XXX XXXXX,XXX XXXXX,DDDD,BUY,20030826,20030826,DDDDDDXXD,XXXX,AGENT,EXCH,XXX XXX. DDDDDDDD,000000500 DDDDDDDD,000000750 DDDDDDDD,000000250 PT,00003,NO,1500,32.0600,48090.00,000000.00,000000.00,000119.80,000000.00,0000048209.80,CLIENT REBAL PH,20030826,DDDDDDDD,XXXXXXXX,XXXXXXXX,DDDD,SELL,20030826,20030826,DDDDDDDD,XX,N/A,EXCH,XXXX XXXX XX. DDDDDDDD,000000825 DDDDDDDD,000000375 PT,00002,NO,1200,44.0700,52884.00,000000.00,000000.00,000089.85,000000.00,0000052973.85,ACCT.MGMT

6.2.5 Sample Data Format as shown in Microsoft® Excel: Prime Broker Allocations in Comma-delimited File Format – Single Allocation

	A	B	C	D	E	F	G	H	I	J	K	L	M	N
1	PH	20090317	DDDDDDDD	XXX XXXXX	XXX XXXXX	DDDD	BUY	20090317	20090128	DDDDDDXXD	XXX	AGENT	EXCH	US TREAS NOTE
2	DDDDDDDD	840												
3	DDDDDDDD	840												
4	PT	2 NO		1700	25.6250	256250.00	0.00	0.00	894.64	0.00	257144.65	CLIENT REBAL		
5														
6														

6.2.6 Sample Data Format as shown in Microsoft® Excel: Prime Broker Allocations in Comma-delimited File Format – Multiple Allocations

	A	B	C	D	E	F	G	H	I	J	K	L	M	N
1	PH	20030826	DDDDDDDD	XXX XXXXX	XXX XXXXX	DDDD	BUY	20030826	20030826	DDDDDDXXD	XXX	AGENT	EXCH	XXX XXX
2	DDDDDDDD	000000500												
3	DDDDDDDD	000000750												
4	DDDDDDDD	000000250												
5	PT	000003	NO	1500	32.0600	48090.00	000000.00	000000.00	000119.80	000000.00	0000048209.80	CLIENT REBAL		
6	PH	20030826	DDDDDDDD	XXXXXXXX	XXXXXXXX	DDDD	SELL	20030826	20030826	DDDDDDXXD	XX	N/A	EXCH	XXX XXX XXX
7	DDDDDDDD	000000825												
8	DDDDDDDD	000000375												
9	PT	000002	NO	1200	44.0700	52884.00	000000.00	000000.00	000085.85	000000.00	0000052973.85	ACCT. MGMT		
10														

6.3 Importing Prime Broker Allocations in Comma-delimited File Format – Single or Multiple Allocation(s)

Web Trading allows Prime Broker trades to be allocated in a separate file and imported using the steps outlined below:

1. Create a file to be imported.
2. Launch Web Trading from the **Trade** tab on schwabadvisorcenter.com (formerly schwabinstitutional.com)
3. Once in Web Trading, go to the Prime Broker Allocation Worksheet.
4. On the Prime Broker Allocations Worksheet, click **Import**.
5. In the dialog box that appears, locate the drive where the file resides.
6. Select the file you want to import, and then click **OPEN**. The allocations fill the blotter on the Prime Broker Worksheet and can be modified the same way as allocations created in Web Trading.
7. A dialog box will appear asking if you want to preview the allocations or submit them without viewing the allocation details in the blotter. If you select **Preview**, the allocations will fill the blotter on the Prime Broker Allocations Worksheet. There will be a new “page” for each trade’s allocations that you can scroll between. The allocations can be modified and/or submitted the same way as allocations created in Web Trading.
8. On the Worksheet, click the **Validate** button to verify the correctness of the data.
9. Then click the **Submit** button to send the allocation to Schwab. You will be given a choice to submit all the allocations you uploaded, or simply those on the worksheet you’re currently viewing.

6.4 Creating Prime Broker Allocations in Comma-delimited File Format using Microsoft® Excel

To create a Prime Broker allocation file in Excel, first enter the data into an Excel spreadsheet. Then save the spreadsheet as a comma-delimited (.csv) file. This section details the steps to be followed to create the text file.

Note: *It is very important to follow this format exactly.*

1. Open a new Excel spreadsheet document.
2. Using all capital letters, enter order data into the spreadsheet. All required data must be included. Optional fields may be left blank.
3. Do not exceed the column width specified in the file layout. Right-justify the entire spreadsheet.
4. Enter the file header data in Row 1 of the spreadsheet (Master Account, Web Trading version number) followed by the detail data and trailer record in subsequent rows depending on the number of trade orders in the file. The last row should contain the trailer record.
5. Duplicate steps 2–4 again, directly below the original order. Repeat this process for each order you want to include in the file.
6. Ensure that the header and order data sections are correctly placed; all required data is present; and all columns are aligned and configured correctly.
7. Save the file as a comma-delimited file (.csv extension).
 - In the File menu, select **Save As**.
 - In the Save as type drop-down menu, select **CSV (Comma delimited)** and click **Save**.

The file is now ready to import using the Web Trading import feature.

Note: If you want to open the saved file in MS Notepad, you must rename it with a .txt extension (for example, "tradefile.txt") so applications such as Notepad can recognize the file. DO NOT re-save the file as a text file—it will change the file's format.

6.5 Creating Prime Broker Allocations in Fixed File Format Using Microsoft® Notepad

This section details the steps necessary to create a text file containing Prime Broker Allocations in a fixed file format, specifically for a single trade allocation.

Note: It is very important to follow this format exactly.

1. Open Notepad or any ANSI based text editor.
2. Using all capital letters, enter order data into the document.
Note: All required data must be included.
3. On the first line in Notepad, enter the header information. Be sure to add blank spaces to all records so that the data length matches what is in the Width column. (For example, the width for Capacity of Executing Broker is 9. If the capacity is Agent, add 4 extra spaces after Agent before entering the Exchange Where Executed.)
Note: The total number of characters in the header line should not exceed 150, including any trailing spaces.
4. In the next lines enter the detail records including leading zeros preceding the "Quantity of Shares" (For example, if there are 200 shares being allocated to the client, enter 000000200 to make a total of 9 characters.) Hit enter and continue adding the allocations on each following line.
5. On the line below the last allocation, enter the trailer information. Be sure to add blank spaces to all records so that the data length matches what is in the Width column.
Note: There should be 150 total characters in the trailer, including any trailing spaces.
6. Ensure the header, order data and trailer sections are correctly placed; all required data is present; and all columns are aligned and configured correctly.
7. Save the file in Notepad as a space-delimited (*.prn) file. Go to File > Save As, select "All Files" from the Save as type drop-down box. In the "File name" box type in the file name you want with a .prn extension. For example: PBAllocation.prn

The file is now ready to import using the Web Trading import feature.

6.6 Specifications: Prime Broker Allocations in Fixed File Format – Single Trade Allocation

To use the Import Prime Broker file option successfully, allocation lists created for importing into Web Trading must be formatted as outlined below.

6.6.1 Record Configuration – Header, Detail, Trailer

Header Record

Spaces	Max Width	Content	Specifications	Valid Values/Examples/Instructions
1–2	2	Record Type	Always PH	PH
3–10	8	Transmission Date	yyyymmdd	20090317
11–18	8	Master Account #		08000000 - 08999999
19–43	25	Executing Broker/Dealer	Left justified	FIRM NAME
44–68	25	Clearing Broker	Left justified	CLEARER NAME
69–72	4	Clearing Agent DTC	Right justified	0000 to 9999
73–78	6	Action	Left justified	BUY or SELL
79–86	8	Trade Date	Yyyymmdd	20090317
87–94	8	Settlement Date	Yyyymmdd	20090317
95–103	9	CUSIP #		DDDDDDXXD
104–112	9	Security Symbol	Left justified	XXX
113–121	9	Capacity of Executing Broker	Left justified	AGENT, PRINCIPAL, or N/A
122–125	4	Exchange Where Executed	Left justified	EXCH
126–150	25	Security Description	Left justified	US TREAS NOTE

Detail Record

Spaces	Max Width	Content	Specifications	Valid Values/Examples/Instructions
1–8	8	Account Number	Delimited by a space	10000000 - 99999999
10–18	9	Share Quantity	Right Justified, Leading zeros	00000840

Trailer Record

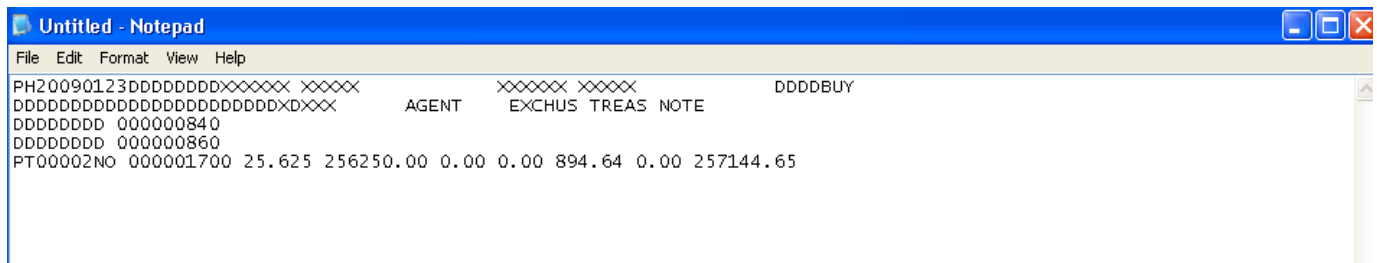
Spaces	Max Width	Content	Specifications	Example
1–2	2	Record Type	Always PT	PT
3–7	5	Number of Allocation Detail Records	Right justified	00003
8–10	3	IPO or New Issue	Left justified	YES or NO
11–19	9	Total Qty of Allocated Shares	Right justified, Leading zeros	000012345
20–33	14	Average Price	Right justified, Four decimal places	25.6250
34–46	13	Principal	Right justified, Two decimal places	256250.00
47–55	9	Interest	Right justified, Two decimal places	0.00

56-64	9	Not Used	Right justified, Two decimal places	0.00
65-73	9	Commission	Right justified, Two decimal places	894.64
74-82	9	Other Fee	Right justified, Two decimal places	0.00
83-95	13	Net Amount	Right justified, Two decimal places	257144.65
96-150	56	Prime Broker Notes	Left justified, Alphanumeric text	CLIENT REBAL

6.6.2 Sample Data Format: Prime Broker Allocations in Fixed File Format – Single Trade Allocation

1234567890123456789012345678901234567890123456789012345678901234567890123456789
PH20090123DDDDDDDDXXXXXX XXXXX XXXXXX XXXXX DDDDBUY DD
GDDDDDDDDDDDDDDDDDDDDDDDDDDDDXDXXX AGENT EXCHUS TREAS NOTE
DDDDDDDD 000000840
DDDDDDDD 000000860
PT00002NO 000001700 25.625 256250.00 0.00 0.00 894.64 0.00 257144.65
G indicates line wrap for presentation purposes

6.6.3 Sample Data Format as Shown in Microsoft® Notepad: Prime Broker Allocations in Fixed File Format – Single Trade Allocation



```

Untitled - Notepad
File Edit Format View Help
PH20090123DDDDDDDDXXXXXX XXXXX XXXXXX XXXXX DDDDBUY DD
DDDDDDDDDDDDDDDDDDDDDDDDDDDDXDXXX AGENT EXCHUS TREAS NOTE
DDDDDDDD 000000840
DDDDDDDD 000000860
PT00002NO 000001700 25.625 256250.00 0.00 0.00 894.64 0.00 257144.65

```

6.7 Importing a Prime Broker Allocation – Single Trade Allocation

Web Trading allows Prime Broker trades to be allocated in a separate file and imported using the fixed file format, using the steps outlined below.

1. Create a file to be imported.

2. Launch the Web Trading Applet from the **Trade** tab on schwabadvisorcenter.com (formerly schwabinstitutional.com)
3. Once in Web Trading, go to the Prime Broker Allocations Worksheet.
4. On the Prime Broker Allocations Worksheet, click **Import**.
5. In the dialog box that appears, locate the drive where the file resides.
6. Select the file you want to import, and then click **OPEN**. The allocations fill the blotter on the Prime Broker Worksheet. They can be modified the same way as allocations created in Web Trading.

7. Trades Away

The Trades Away section provides file format instructions for the comma-delimited file format that can be imported into Web Trading. The instructions for creating this file are listed in the "Specifications: Trades Away Notification in Comma-delimited File Format" section. Following the file format is instructions on how to import Trades Away Notifications files into the Web Trading applet.

7.1 Creating Trades Away Notifications in Comma-delimited File Format Using Microsoft® Excel

To create a Schwab standard format text file in Excel, first enter the data into an Excel spreadsheet. Then save the spreadsheet as a comma-delimited (.csv) file. This section details the steps to be followed to create the text file.

Note: *It is very important to follow this format exactly.*

1. Open a new Excel spreadsheet document.
2. *Using all capital letters*, enter order data into the spreadsheet. All required data must be included. Optional fields may be left blank.
3. Do not exceed the column width specified in the file layout. *Right-justify the entire spreadsheet.*
4. Enter the file header data in Row 1 of the spreadsheet (Master Account, Web Trading version number) followed by the detail data and trailer record in subsequent rows depending on the number of trade orders in the file. The last row should contain the trailer record.
5. Ensure the header and order data sections are correctly placed, all required data is present, and all columns are aligned and configured correctly.
6. Save the file as a comma-delimited file (.csv extension).
 - In the File menu, select **Save As**.
 - In the Save as type drop-down menu, select **CSV (Comma delimited)** and click **Save**.

The file is now ready to import using the Web Trading import feature.

Note: If you want to open the saved file in Microsoft® Notepad, you must rename it with a .txt extension (i.e., tradefile.txt.) so Notepad can recognize it. Do not re-save the file within Excel as a text file. Doing so will alter its format.

7.2 Specifications: Trades Away Notification in Comma-delimited File Format

This file format is similar to the one used for importing a Prime Broker trade allocation, with two exceptions. You can import only a single Trades Away Notification with each file; the file-naming convention requires the text "TA" in the first 2 positions. To use the Import Trades Away Notification file option successfully, notifications must be formatted as indicated below.

7.2.1 Trades Away Notification – Recommended File-Naming Convention

Recommended File Naming Convention:	TADDDDDDDD_yyyymmddhhmmss.TAN
Example:	TA08000000_200903051342.TAN

7.2.2 Record Configuration – Header, Detail, Trailer

Header Record

Order	Max Width	Content	Specifications	Valid Values/Examples/Instructions
1	2	Record Type	Always PH	PH
2	8	Transmission Date	yyyymmdd	20090317
3	8	Master Account #		08000000 - 08999999
4	25	Executing Broker\Dealer		FIRM NAME
5	25	Clearing Broker		CLEARING BROKER NAME
6	4	Clearing Agent DTC		0000 to 9999
7	6	Action		BUY or SELL
8	8	Trade Date	yyyymmdd	20090317
9	8	Settlement Date	yyyymmdd	20090317
10	9	CUSIP #		DDDDDDXXD
11	9	Security Symbol		XXX
12	9	Capacity of Executing Broker		AGENT, PRINCIPAL, or N\A
13	4	Exchange Where Executed		EXCH
14	25	Security Description		US TREAS NOTE

Detail Record

Order	Max Width	Content	Specifications	Valid Values/Examples/Instructions
1	8	Account Number		10000000 - 99999999
2	9	Share Quantity		840

Trailer Record

Order	Max Width	Content	Specifications	Example
1	2	Record Type	Always PT	PT
2	5	Number of Records		1

3	3	IPO or New Issue		YES or NO
4	9	Total Quantity of Allocated Shares		840
5	14	Average Price	4 decimal places	25.6250
6	13	Principal	2 decimal places	21525.00
7	9	Interest	2 decimal places	0.00
8	9	Not Used	2 decimal places	0.00
9	9	Commission	2 decimal places	894.64
10	9	Other Fee	2 decimal places	0
11	13	Net Amount	2 decimal places	22419.64
12	56	Notes	Alpha/numeric text	CLIENT REBALANCING

7.2.3 Sample Data Format: Trades Away Notification Import/Upload File

12345678901234567890123456789012345678901234567890123456789012345678901234567890123456789
PH,20100724,DDDDDDDD,FIRM CLEARER,DDDD,SELL,20100427,20100430,DDDDDDXXD,XXX,AGENT,EXCH,US TREAS NOTE DDDDDDDD,840 PT,1,NO,840,25.6250,21525.00,0.00,0.00,894.64,0.00,22419.64,CLIENT REBAL

7.2.4 Sample Data Format as Shown in Microsoft® Excel: Trades Away Notification in Comma-delimited File Format

	A	B	C	D	E	F	G	H	I	J	K	L	M
1	PH	20100724	DDDDDDDD	FIRM CLEARER	DDDD	SELL	20100427	20100430	DDDDDDXXD	XXX	AGENT	EXCH	US TREAS NOTE
2	DDDDDDDD	840											
3	PT	1	NO	840	25.6250	0.00	0.00	894.64	0.00	22419.64	CLIENT REBAL		
4													
5													

7.3 Importing a Trades Away Notification

Web Trading allows Trades Away Notifications to be imported using the comma-delimited format, as outlined in the steps below.

1. Create a file to be imported. See instructions above.
2. On the Trades Away Notifications screen, click **Import**.
3. In the dialog box that appears, locate the drive where the file resides. Select the file you want to import, and then click **OPEN**. The data fills the blotter on the Trades Away Notifications screen. The data can be modified the same way as notifications created in Web Trading.

8. References & Key Definitions

The following definitions will be useful for reference to industry and requirement abbreviations:

Terminology	Definition or Description of Use
CSV or .CSV	Abbreviation for comma-separated value. Synonymous with comma-delimited format. “.CSV” is the file type saved by Microsoft Excel when saving in the comma-separated value format.
WTA	Web Trading Applet, aka Web Trading. Web Trading can be found within the Trade area of <code>schwabadvisorcenter.com</code> .