

# Participant Specifications for Securities Lending and Transparency Engine (SLATE™)

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## Introduction

The Securities Lending and Transparency Engine (SLATE) is a service of FINRA that performs two major functions: securities loan transaction reporting and data dissemination. SLATE Participants are provided with the capability of submitting loan transaction information on CAT, TRACE or RTRS reportable securities. As part of this implementation, the system will support file submission via the defined protocol in this document. This document describes the formats of the inbound and outbound messages from the SLATE system. As loan transaction files are reported to the system, the files and records will be validated. Files indicating the records were accepted or rejected will be returned.

## Change Log

Version	Date	Description
Initial DRAFT	5/20/2024	Initial Draft specification
V1.1	2/12/2025	Substantial rewrite

## Registration

FINRA requires entitlements for access to reporting tools. Guidance on the appropriate entitlements and instructions on requesting access will be made available prior to the beginning of the onboarding process.

## System Hours

The SLATE reporting facility will be available during System Hours of System Open at 6:00:00 a.m. through 11:59:59 p.m. Eastern Time, and System Close is at midnight.

Loan Events reported after System Close will be rejected, and must be reported on the next business day during SLATE System Hours.

Loan Events effected on a non-business day (Saturday, Sunday, Holiday or a date SLATE is not open at any time during the day), must be reported on the next business day during System Hours.

## Date References

T – Refers to the date when an event is required to be reported. Loan events effected through 7:00:00 p.m. on a business date (day T) must be reported the same day before System Close. Loan events effected through 7:00:00 p.m. that are reported on a subsequent business day (T+n) will be considered late. Loan events effected after 7:00:00 p.m. are not due until the next business date.

R – Refers to the date when an event is reported. The reporting date begins at System Open and ends at System Close.

R0 – Used to describe reporting a linked event on the same day the parent event or loan was reported. For example, if a New Loan Event is reported on 1/2/2026, and a Modify Loan Event is reported on 1/2/2026, the Modify Loan Event is considered reported on R0.

R+n – Used to describe reporting a linked event reported n days (where n > 0) after its parent. For example, if a New Loan Event is reported on 1/2/2026 and a Modify Loan Event for that New Loan Event is reported on 1/3/2026, the Modify Loan Event was reported on R+n (R+1).

## Key Data Elements

### Loan Identifiers

#### Client Unique Loan ID

A Client Unique Loan ID is the Covered Person's unique identifier for a loan. It may be submitted on all incoming New and Pre-existing Loan Modification Events and if submitted, is required to be unique for the New Loan Event's Event Date, and also for the date the event was reported. It is required on all same-day (R0 reporting) modifications (and therefore required on the New Loan Event being modified) for loans for which use of a FINRA Loan ID is not possible (e.g. not yet received by the submitter). Client Unique Loan ID may not be corrected. If a Covered Person needs to change a Client Unique Loan ID, the Covered Person must delete the original loan and re-report a New Loan Event or Pre-existing Loan Modification Event, as applicable. The Client Unique Loan ID will not be disseminated.

#### FINRA Loan ID

The FINRA Loan ID will be assigned by the system to each unique accepted loan (from New Loan Events and Pre-Existing Loan Modification Events) and will be required on all subsequent modifications and deletions if the corresponding New Loan Event or Pre-existing Loan Modification Event was submitted on a prior day. This identifier will be used for loan life-cycle linkage and dissemination to the marketplace.

#### Omnibus Loan ID

Voluntary identifier for an agency loan that may have one or more underlying allocations. When Omnibus Loan ID is populated, the Client Unique Loan ID refers to the individual allocation.

### Security Identifiers

Reportable Securities include any security or class of an issuer's securities for which information is reported or required to be reported to the Consolidated Audit Trail as required by Rule 613 of the Exchange Act and the CAT NMS Plan ("CAT"), the FINRA's Trade Reporting and Compliance Engine ("TRACE"), or the Municipal Securities Rulemaking Board's ("MSRB") Real-Time Transaction Reporting System ("RTRS"), or any reporting system that replaces one of these systems.

SLATE allows for the reporting of securities using any of the following security identifiers:

- Symbol – US Equity ticker symbol in CAT reporting format "ROOT SFX" where ROOT is the root of the ticker symbol, and SFX is the suffix if applicable, delimited by a space.
- CUSIP (Committee on Uniform Securities Identification Procedures)
- FIGI - Financial Instrument Global Identifier
- ISIN - International Securities Identification Number

### Adding Reportable Securities

If a Covered Person has a transaction in a reportable security that does not yet have an identifier, the Covered Person may request an identifier be created using FINRA's New Issue Management online system.

## Loan Party Identifiers

SLATE Participants must provide specified identifying information for each of the parties to a loan. Those parties include the Lender, the Borrower, and where one exists, an Intermediary. If a natural person is one of the parties to the loan; only submit values representing Customer; do not send personal identifiable information. The identifying information includes:

- MPID – Market Participant Identifier
- CRD/IARD – Either the Central Registration Depository (CRD) number for a firm or the Investment Adviser Registration Depository (IARD) number for the investment adviser firm.
- LEI – Legal Entity Identifier
- Name – Legal Name of the entity. Do not submit individuals' names or identifiable information for natural persons.

## Record Identifiers

### File Record Identifier

The fileRecordId represents the sequence of events across all events within a reported file.

Value is a combination of [filename](#) root ([filename](#) inclusive of the MPIDs and the File Generation Timestamp, exclusive of the extension “.json.bz2”), a dash ‘-’ delimiter, and a sequence number.

Sequence number represents an ordering of all of the events reported for the Covered Person within a reported file. Will be used by the system to determine the order in which events will be processed, to sort events within the same eventDateTime, and also for linking events.

Format: [Filename](#) Root-Sequence

Example: Event record 123 on a 10/10/2026 9:30:59 file would look like:  
SMPID\_RMPID\_CMPID\_20260101093059-123

Where:

- SMPID = Submitter MPID
- RMPID = Reporting Agent MPID
- CMPID = Covered Person MPID
- 20260101093059 = File Generation DateTime
- - as the delimiter
- 123 = record sequence within the file

fileRecordId is used as a key field for linkage may not be corrected or modified.

The system will process records in order sorted by fileRecordId.

A file with root “SMPID\_RMPID\_CMPID\_20260101093059” containing three records would have fileRecordIds reported as:

- SMPID\_RMPID\_CMPID\_20260101093059-1
- SMPID\_RMPID\_CMPID\_20260101093059-2
- SMPID\_RMPID\_CMPID\_20260101093059-3

When a rejected record is resubmitted, the resubmitted record's fileRecordId must match the file in which it is resubmitted, not its original submission file.

## FINRA Control Number

The FINRA Control Number is assigned by the system for each individual loan event reported to SLATE. The FINRA Control Number is independent of a FINRA Loan ID and is unique. This identifier is used for correcting or cancelling a previously reported event and is required on all R+n Cancels and Corrections.

## Data Types

### Dates

Dates are expressed as strings in the format YYYY-MM-DD.

### Timestamps

Date timestamps are expressed as strings in 24-hour Eastern Time to millisecond granularity in the format YYYY-MM-DDTHH24:MI:SS.nnn. Timestamps without date are expressed as HH24:MI:SS.nnn. If the firm's systems do not capture millisecond granularity, zeros must be reported (e.g. 10:59:59.000).

### Numerics

Decimals will be expressed as numeric datatypes with (x,y) precision, with up to x digits total, and y to the right of the decimal point. For example, Numeric (15,6) would have 9 digits to the left of the decimal and 6 to the right (e.g. 999999999.888888). Values may be negative unless prescribed otherwise.

### Percentage

Percentages are numeric datatypes sized Decimal(10,4) with six digits to the left of the decimal and four to the right. The values are expressed as a percentage, where 5.25% is represented as "5.25".

### Strings

SLATE uses character set UTF-8 with backslash '\' as the escape character. Strings may include all printable characters. JSON schema validation will reject invalid JSON syntax.

## General Event Reporting

### Loan Event Message Types

The following events are used to report loan events to the system.

**New** – Used to report the terms of an Initial Covered Securities Loan. A New Loan Event may not be cancelled; it must be deleted using the Delete Loan Event or corrected.

**Pre-Existing Loan Modification Event** – Used to report a modification to a loan that was not previously required to be reported to the system.

**Modification** – Submitted to report a change to the terms of a loan that was previously reported to the system. Other than key fields required for linkage and the date and time of the modification, **reporters must only send the modified fields that are required to be submitted.** A Loan Modification Event should not be used to correct erroneously reported field values.

**Termination** – Used to indicate the date and time a loan has been terminated. In the case of a loan termination where securities are **returned**, a Loan Termination Event must also include the new loan amount.

## Data Editing Message Types

The following events allow a SLATE participant to edit data in the system that was previously reported by them.

**Correction** – A Correction Event is used to replace erroneously reported field values on a previously reported event. Other than key fields required for linkage, reporters must only submit the updated fields that are required to be submitted. A Correction Event should **not** be used to update field values that were originally reported correctly, but later change as a result of a loan modification.

**Cancel** – The Cancellation Event is used to remove a single reported event from the system. A Cancellation Event itself may not be cancelled or corrected. An event that has been cancelled may be resubmitted, but it may not be corrected.

**Delete** – The Delete Loan Event is used to delete an entire loan and all of its child events from the SLATE system (i.e., the New Loan Event and any subsequent Loan Modification, Loan Termination, or Loan Correction Events will be deleted from the system). A delete event cannot be cancelled or corrected.

## Event Linkage

This table describes the fields that will be used to link a New Loan Event or Pre-existing Loan Modification Event to any subsequent modifications, corrections, cancelations, or deletions submitted to update the original loan report. If on the initial reporting day (R0) the Covered Person has received a FINRAControlNumber and FINRALoanID, those identifiers may be used to link records in lieu of clientUniqueLoanId or fileRecordId. If the fields for multiple methods of linkage are provided (e.g. both clientUniqueLoanId and FINRALoanId), the system will use the FINRA returned fields for linkage (FINRALoanId; FINRAControlNumber).

Report Day	Message Type(s)	Validation Linkage
R0	Modification & Termination	(clientUniqueLoanID <b>OR</b> FINRALoanID) <b>AND</b> coveredPersonMPID
R0	Cancel/Correction	(fileRecordId <b>OR</b> FINRAControlNumber) <b>AND</b> coveredPersonMPID
R0	Delete	(clientUniqueLoanID <b>OR</b> FINRALoanID) <b>AND</b> coveredPersonMPID
R+n	Modification & Termination	FINRALoanID <b>AND</b> coveredPersonMPID
R+n	Cancel/Correction	FINRAControlNumber <b>AND</b> coveredPersonMPID
R+n	Delete	FINRALoanID <b>AND</b> coveredPersonMPID

## Required, Conditional, Optional, and Voluntary Fields

### Include Key:

Value	Abbreviation	Description
Required	R	Required for the given event. This field must always be included or the event will be rejected.
Conditional	C	Conditionally required for the given event, depending upon other values submitted in the event message. For example: Field Y is required when Field X is populated. If Field X is not populated, Field Y would not be required.
Optional	O	Field is required by rule where applicable. The system will not reject the event if not populated (as the field may not apply for the given event).
Voluntary	V	Field is not required by rule but may be voluntarily provided. Voluntary fields may be used for regulatory purposes but will not be disseminated or used for disseminated statistics.

## New Loan Event

A New Loan Event is used to report the terms of a new Initial Covered Securities Loan not previously reported to SLATE.

New Loan Event				
Seq #	JSON Field Name	Data Type	Description	Include Key
1	reportType	String(1)	Submit 'N'.	R
2	coveredPersonMPID	String(5)	Identifies the MPID of the Covered Person in the securities loan being reported.	R
3	fileRecordId	String(50)	Sequence of events for the Covered Person across all events within a reported file. See Record Identifiers section for more information. System will reject records with duplicated fileRecordId.	R
4	clientUniqueLoanId	String(40)	Unique identifier assigned to the Covered Securities Loan by the Covered Person responsible for reporting the loan.  If provided, system will reject event if not unique for 1. Event Date (date portion of eventDateTime) and 2. Report Date May not be corrected.  For modifications submitted on R0, event linkage requires either a FINRALoanId or	O

New Loan Event				
Seq #	JSON Field Name	Data Type	Description	Include Key
			clientUniqueLoanId. To use clientUniqueLoanId to link from a Modify Loan Event to the New Loan Event, the clientUniqueLoanId must also be reported on the New Loan Event.	
5	omniLoanId	String(40)	Covered Person's unique identifier for the omnibus loan associated with the Covered Securities Loan reported to the system. May be provided to identify where the Covered Securities Loan reported to the system is an allocation of agency loan and multiple loan reports may be related to the single omnibus loan.	V
6	eventDateTime	Date Time	Date and time to which these terms of the loan were effected.  Must not be prior to system start date or the system will reject.	R
7	legalNameSecurityIssuer	String(255)	Legal name of the security issuer. Example: "Alphabet Inc"	R
8	leiSecurityIssuer	String(20)	Legal Entity Identifier (LEI) of the security issuer.	O
9	securityIndicator	String(1)	The type of security identifier provided in the securityIdentifier field. Values: S – Symbol C – CUSIP I – ISIN F – FIGI	R
10	securityIdentifier	String(16)	Identifier for the security corresponding to the securityIndicator provided. System will reject if securityIdentifier is not found.	R
11	lenderName	String(255)	Legal name of the lender. Report 'CT' if the Covered Person is a broker dealer borrower and the lender is its customer or the lender is a natural person. System will issue a warning if at least one of the following is not provided: <ul style="list-style-type: none"> <li>• lenderName</li> <li>• lenderLEI</li> <li>• lenderMPID</li> <li>• lenderCRDIARD</li> </ul>	O
12	lenderLEI	String(20)	Legal Entity Identifier (LEI) of the lender. System will issue a warning if at least one of the following is not provided: <ul style="list-style-type: none"> <li>• lenderName</li> <li>• lenderLEI</li> <li>• lenderMPID</li> </ul>	O

### New Loan Event

Seq #	JSON Field Name	Data Type	Description	Include Key
			<ul style="list-style-type: none"> <li>lenderCRDIARD</li> </ul>	
13	lenderMPID	String(5)	<p>Market Participant Identifier (MPID) of the lender.</p> <p>One of the lenderMPID, IntermediaryMPID, or borrowerMPID must be populated or the system will reject.</p> <p>The coveredPersonMPID must match one of the lenderMPID, IntermediaryMPID, or borrowerMPID populated or the system will reject.</p> <p>System will issue a warning if at least one of the following is not provided:</p> <ul style="list-style-type: none"> <li>lenderName</li> <li>lenderLEI</li> <li>lenderMPID</li> <li>lenderCRDIARD</li> </ul>	C
14	lenderCRDIARD	String(12)	<p>Central Registration Depository (CRD) number or Investment Advisor Registration Depository (IARD) number of the lender.</p> <p>System will issue a warning if at least one of the following is not provided:</p> <ul style="list-style-type: none"> <li>lenderName</li> <li>lenderLEI</li> <li>lenderMPID</li> <li>lenderCRDIARD</li> </ul>	O
15	intermediaryName	String(255)	Legal name of the intermediary.	O
16	intermediaryLEI	String(20)	Legal Entity Identifier (LEI) of the intermediary.	O
17	intermediaryMPID	String(5)	<p>Market Participant Identifier (MPID) of the Intermediary.</p> <p>One of the lenderMPID, IntermediaryMPID, or borrowerMPID must be populated or the system will reject.</p> <p>The coveredPersonMPID must match one of the lenderMPID, IntermediaryMPID, or borrowerMPID or the system will reject.</p>	C
18	intermediaryCRDIARD	String(12)	Central Registration Depository (CRD) number or Investment Advisor Registration Depository (IARD) number of the Intermediary.	O
19	borrowerName	String(255)	<p>Legal name of the borrower. If borrower is a natural person, submit "CT".</p> <p>System will issue a warning if at least one of the following is not provided:</p> <ul style="list-style-type: none"> <li>borrowerName</li> <li>borrowerLEI</li> <li>borrowerMPID</li> <li>borrowerCRDIARD</li> </ul>	O
20	borrowerLEI	String(20)	<p>Legal Entity Identifier (LEI) of the borrower.</p> <p>System will issue a warning if at least one of the following is not provided:</p> <ul style="list-style-type: none"> <li>borrowerName</li> </ul>	O

New Loan Event				
Seq #	JSON Field Name	Data Type	Description	Include Key
			<ul style="list-style-type: none"> <li>borrowerLEI</li> <li>borrowerMPID</li> <li>borrowerCRDIARD</li> </ul>	
21	borrowerMPID	String(5)	<p>Market Participant Identifier (MPID) of the borrower.</p> <p>One of the lenderMPID, IntermediaryMPID, or borrowerMPID must be populated or the system will reject.</p> <p>The coveredPersonMPID must match one of the lenderMPID, IntermediaryMPID, or borrowerMPID or the system will reject.</p> <p>System will issue a warning if at least one of the following is not provided:</p> <ul style="list-style-type: none"> <li>borrowerName</li> <li>borrowerLEI</li> <li>borrowerMPID</li> <li>borrowerCRDIARD</li> </ul>	C
22	borrowerCRDIARD	String(12)	<p>Central Registration Depository (CRD) number or Investment Advisor Registration Depository (IARD) number of the borrower.</p> <p>System will issue a warning if at least one of the following is not provided:</p> <ul style="list-style-type: none"> <li>borrowerName</li> <li>borrowerLEI</li> <li>borrowerMPID</li> <li>borrowerCRDIARD</li> </ul>	O
23	borrowerType	String(2)	<p>Type of entity represented by the borrower.</p> <p>Values:</p> <p>BD - Broker dealer</p> <p>CD - Custodian</p> <p>CT - Customer</p> <p>CA - Clearing Agency</p> <p>BK - Bank</p> <p>OP - Other Person</p>	R
24	settlementDate	Date	Date on which the loan is expected to settle.	V
25	termDate	Date	Date on which the loan's term ends.	O
26	executionPlatformVenue	String(4)	<p>ISO 10383 Market Identifier Code (MIC) for the venue or platform on which the loan was executed.</p> <p>Values other than MIC codes:</p> <p>MANU – Manual (e.g. not executed on an automated platform)</p> <p>OTHR - Other platform or venue; MIC not listed; If OTHR is selected, executionPlatformName must be provided or the system will reject.</p> <p>System will reject if submitted value is undefined.</p>	R
27	executionPlatformName	String(255)	If OTHR specified for executionPlatformVenue, the name or description of that venue is required and if not provided, the system will reject.	C
28	equityShares	Decimal(13,4)	Number of shares in the equity product loan. Required if security is an equity or the system	C

### New Loan Event

Seq #	JSON Field Name	Data Type	Description	Include Key
			<p>will reject.</p> <p>System will reject if neither or both equityShares and parValue are reported (i.e., only one of equityShares or parValue must be populated). If populated, value must be greater than zero or the system will reject.</p> <p>Applicable to CAT reportable securities.</p>	
29	parValue	Decimal(13,4)	<p>parValue of the entire loan for fixed income securities. Required if security is fixed income.</p> <p>System will reject if neither or both equityShares and parValue are reported (i.e., only one of equityShares or parValue must be populated). If populated, value must be greater than zero or the system will reject.</p> <p>Applicable to TRACE and RTRS reportable securities.</p>	C
30	collateralType	String(7)	<p>Type of collateral securing the loan.</p> <p>Values: CASH - Cash NONCASH – Non Cash</p>	R
31	collateralCurrency	String(3)	<p>ISO-4217 Currency Code for the loan.</p> <p>Examples (not limited to): USD – US Dollars EUR – Euro CAD – Canadian Dollars</p> <p>Must be populated if collateralType is CASH.</p>	C
32	requiredPctCollateral	Percentage	<p>Required percentage of collateral to value of Reportable Securities loaned to secure the loan.</p>	R
33	lendingFee	Percentage	<p>Securities lending fee; value may be positive or negative.</p> <p>Only one of lendingFee, rebateRate, or otherFees may be populated. If more than one or none are provided, the system will reject.</p>	C
34	rebateRate	Percentage	<p>Rebate rate on the loan, value may be positive or negative.</p> <p>Only one of lendingFee, rebateRate, or otherFees may be populated. If more than one or none are provided, the system will reject.</p> <p>If benchmarkName or benchmarkSpread are provided, rebateRate must be provided or the system will reject.</p>	C
35	otherFees	Decimal(19,4)	<p>Value of other fees or charges on the loan. Value may be positive or negative. Report in USD using the exchange rate on the date of the event.</p> <p>Only one of lendingFee, rebateRate, or otherFees may be populated. If more than one or none are provided, the system will reject.</p>	C

New Loan Event				
Seq #	JSON Field Name	Data Type	Description	Include Key
37	benchmarkName	String(4)	<p>Name of the benchmark or reference rate used to calculate the rebate.</p> <p>Values TBD</p> <p>Must be provided if benchmarkSpread is provided or the system will reject.</p>	O
38	benchmarkOtherDesc	String(100)	<p>Description of benchmark if OTHR reported.</p> <p>Must be provided if OTHR is selected for benchmarkName or the system will reject.</p>	C
39	benchmarkSpread	Percentage	<p>Spread used to calculate the rebateRate from the benchmark or reference rate.</p> <p>May be positive, 0 or negative. If spread is flat, submit 0. For example:</p> <ul style="list-style-type: none"> <li>A benchmark value of 5.00, if the rebateRate is 4.90, then the benchmarkSpread is -.10.</li> <li>A benchmark value of 5.00, if the rebateRate is 5.20, then the benchmarkSpread is .20.</li> </ul> <p>Must be provided if benchmarkName is provided and if not provided, the system will reject.</p>	C
40	offMarketIndicator	String(1)	<p>RebateRate or lendingFee is away from prevailing market rates. Y – Yes</p>	V
41	exclusiveArrangementFlag	String(1)	<p>Covered Securities Loan was effected pursuant to an exclusive arrangement. Y – Yes</p>	V
42	sourceOfLoan	String(1)	<p>Indicates whether the lender obtained the securities loaned from its inventory: Y - Inventory N - Not from Inventory</p> <p>Select Y if any portion of the loan was obtained from inventory.</p> <p>If lender is a Broker or Dealer and the borrower is its customer, value is required, and if not provided, the system will reject.</p>	C
43	loanCloseOutFTD	String(1)	<p>Indicates whether the Covered Securities Loan is being used to close out a failure to deliver pursuant to Rule 204 of Reg SHO or otherwise:</p> <p>Y = Used to cover a FTD N = Not used to cover a FTD If unknown, field may be left blank</p> <p>Select Y if any portion of the loan was used to close out a failure to deliver.</p>	O

## Pre-Existing Loan Modification Event

A Pre-Existing Loan Modification Event is used to report the terms of a securities loan that was not previously required to be reported to SLATE, but is subject to reporting upon modification. For example, if a new loan is effected prior to SLATE's launch date, it is not reportable, but a modification to this loan after SLATE's launch date, such as a termination, a rate change or a quantity change, is reportable using this event. A Pre-Existing Loan Modification Event may not be cancelled; it must be corrected or deleted in the event of an error.

Pre-Existing Loan Modification Event				
Seq #	JSON Field Name	Data Type	Description	Include Key
1	reportType	String(1)	Submit 'P'.	R
2	coveredPersonMPID	String(5)	Identifies the MPID of the Covered Person in the securities loan being reported.	R
3	fileRecordId	String(50)	Sequence of events for the Covered Person across all events within a reported file. See Record Identifiers section for more information. System will reject records with duplicated FileRecordId number(s).	R
4	clientUniqueLoanID	String(40)	Unique identifier assigned to the Covered Securities Loan by the Covered Person responsible for reporting the loan.  If provided, will reject if not unique for 1. Event Date (date portion of eventDateTime) and 2. Report Date May not be changed on initial report date.	O
5	omniLoanId	String(40)	Covered Person's unique identifier for an omnibus loan. May be provided to identify where the Covered Securities Loan reported to the system is an allocation of agency loan and multiple loan reports may be related to the single omnibus loan.	V
6	eventDateTime	Date Time	Date and time on which the loan modification was effected.  Must not be prior to system start date or the system will reject.	R
7	loanEffectedDateTime	Date Time	Date and Time the loan being modified was originally effected.	R
8	terminationDate	Date	Date the loan is terminated. Will reject if date is before System Start Date or is a future date.	O
9	legalNameSecurityIssuer	String(255)	Legal name of the security issuer. Example: "Alphabet Inc"	R

### Pre-Existing Loan Modification Event

Seq #	JSON Field Name	Data Type	Description	Include Key
10	leiSecurityIssuer	String(20)	Legal Entity Identifier (LEI) of the security issuer.	O
11	securityIndicator	String(1)	The type of security identifier provided in the securityIdentifier field. Values: S – Symbol C – CUSIP I – ISIN F – FIGI	R
12	securityIdentifier	String(16)	Identifier for the security corresponding to the securityIndicator provided. System will reject if securityIdentifier is not found.	R
13	lenderName	String(255)	Legal name of the lender. Report 'CT' if the Covered Person is a broker dealer borrower and the lender is its customer or the lender is a natural person.	V
14	lenderLEI	String(20)	Legal Entity Identifier (LEI) of the lender.	V
15	lenderMPID	String(5)	Market Participant Identifier (MPID) of the lender.	V
16	lenderCRDIARD	String(12)	Central Registration Depository (CRD) number or Investment Advisor Registration Depository (IARD) number of the lender.	V
17	intermediaryName	String(255)	Legal name of the intermediary.	V
18	intermediaryLEI	String(20)	Legal Entity Identifier (LEI) of the intermediary.	V
19	intermediaryMPID	String(5)	Market Participant Identifier (MPID) of the Intermediary.	V
20	IntermediaryCRDIARD	String(12)	Central Registration Depository (CRD) number or Investment Advisor Registration Depository (IARD) number of the Intermediary.	V
21	borrowerName	String(255)	Legal name of the borrower. If borrower is a natural person, submit "CT".	V
22	borrowerLEI	String(20)	Legal Entity Identifier (LEI) of the borrower.	V
23	borrowerMPID	String(5)	Market Participant Identifier (MPID) of the borrower.	V
24	borrowerCRDIARD	String(12)	Central Registration Depository (CRD) number or Investment Advisor Registration Depository (IARD) number of the borrower.	V
25	borrowerType	String(2)	Type of entity represented by the borrower. Values: BD - Broker dealer CD - Custodian CT - Customer CA - Clearing Agency BK - Bank OP - Other Person	R

### Pre-Existing Loan Modification Event

Seq #	JSON Field Name	Data Type	Description	Include Key
26	termDate	Date	Date on which the loan's term ends. Will be blank if the loan is an open loan.	O
27	executionPlatformVenue	String(4)	ISO 10383 Market Identifier Code (MIC) for the venue or platform on which the loan was executed.  Values other than MIC codes: MANU - Manual (e.g. not executed on an automated platform) PREX - Unknown (for pre-existing loans) OTHR - Other platform or venue; MIC not listed ; If OTHR is selected, executionPlatformName must be provided or the system will reject.  System will reject if submitted value is undefined.	R
28	executionPlatformName	String(255)	If OTHR specified for executionPlatformVenue, the name or description of that venue is required, and if not provided, the system will reject.	C
29	equityShares	Decimal(13,4)	Number of shares in the equity product loan. If security is an equity, value is required, and if not provided, the system will reject.  System will reject if neither or both equityShares and parValue are reported (i.e., only one of equityShares or parValue must be populated).  Applicable to CAT reportable securities.	C
30	parValue	Decimal(13,4)	parValue of the entire loan for fixed income securities. If security is fixed income, value is required, and if not provided, the system will reject.  System will reject if neither or both equityShares and parValue are reported (i.e., only one of equityShares or parValue must be populated).  Applicable to TRACE and RTRS reportable securities.	C
31	collateralType	String(7)	Type of collateral securing the loan.  Values: CASH - Cash NONCASH – Non Cash	R
32	collateralCurrency	String(3)	ISO-4217 Currency Code for the loan.  Examples (not limited to): USD – US Dollars EUR – Euro CAD – Canadian Dollars	C

### Pre-Existing Loan Modification Event

Seq #	JSON Field Name	Data Type	Description	Include Key
			Must be populated if collateralType is CASH or the system will reject.	
33	requiredPctCollateral	Percentage	Required percentage of collateral to value of Reportable Securities loaned to secure loan. If not provided, the system will reject.	R
34	lendingFee	Percentage	Securities lending fee; value may be positive or negative. Only one of lendingFee, rebateRate, or otherFees may be populated. If more than one or none are provided, the system will reject. If none are provided, the system will reject.	C
35	rebateRate	Percentage	Rebate rate on the loan, value may be positive or negative.  Only one of lendingFee, rebateRate, or otherFees may be populated. If more than one or none are provided, the system will reject.  If benchmarkName or benchmarkSpread are provided, rebateRate must also be provided or the system will reject.	C
36	otherFees	Decimal(19,4)	Value of other fees or charges on the loan. Value may be positive or negative. Report in USD using the exchange rate on the date of the event. Only one of lendingFee, rebateRate, or otherFees may be populated. If more than one or none are provided, the system will reject.	C
37	benchmarkName	String(4)	Name of the benchmark or reference rate used to calculate the rebate. Values TBD  OTHR – Other Benchmark not listed	O
38	benchmarkOtherDesc	String(100)	Description of benchmark. If OTHR is reported for benchmarkName, field is required, and if not provided, the system will reject.	C
39	benchmarkSpread	Percentage	Spread used to calculate the rebateRate from the benchmark or reference rate.  May be positive, 0 or negative. If spread is flat, submit 0. For example: <ul style="list-style-type: none"> <li>A benchmark value of 5.00, if the rebateRate is 4.90, then the benchmarkSpread is -.10.</li> <li>A benchmark value of 5.00, if the rebateRate is 5.20, then the benchmarkSpread is .20.</li> </ul> Must be provided if benchmarkName is provided, and if not provided, the system will	C

Pre-Existing Loan Modification Event				
Seq #	JSON Field Name	Data Type	Description	Include Key
			reject.	
40	offMarketIndicator	String(1)	RebateRate or lendingFee is away from prevailing market rates. Y – Yes	V
41	exclusiveArrangementFlag	String(1)	Covered Securities Loan was effected pursuant to an exclusive arrangement. Y – Yes	V
42	sourceOfLoan	String(1)	Indicates whether the lender obtained the securities loaned from its inventory: Y - Inventory N - Not from Inventory  Select Y if any portion of the loan was obtained from inventory.	V
43	loanCloseOutFTD	String(1)	Indicates whether the Covered Securities Loan is being used to close out a failure to deliver pursuant to Rule 204 of Reg SHO or otherwise:  Y = Used to cover a FTD N = Not used to cover a FTD If unknown, field may be left blank  Select Y if any portion of the loan was used to close out a failure to deliver.	V

### Modify Loan Event

The Modify Loan Event is used to report an update or change to the terms or status of a loan as of a certain date. Multiple modify events with the same eventDateTime will be processed if different fields on the records are modified. If modify events are submitted with the same eventDateTime with the same field(s) being modified, the system will process them in order of the fileRecordId. Reporters must only send the fields that are being modified, in addition to required linkage fields.

Note: The Modify Loan Event should **not** be used to correct errors or incorrect information provided in a previously reported loan event. A Correction Event should be used in that scenario.

Modify Loan Event				
Seq #	JSON Field Name	Data Type	Description	Include Key
1	reportType	String(1)	Submit 'M'.	R
2	coveredPersonMPID	String(5)	Identifies the MPID of the Covered Person in the securities loan being reported.	R

### Modify Loan Event

Seq #	JSON Field Name	Data Type	Description	Include Key
3	fileRecordId	String(50)	Sequence of events for the Covered Person across all events within a reported file. See Record Identifiers section for more information. System will reject records with duplicated fileRecordId.	R
4	clientUniqueLoanID	String(40)	Unique identifier assigned to the Covered Securities Loan by the Covered Person responsible for reporting the loan.  Required if modifying a same day (R0) New Loan Event (Initial Covered Securities Loan) and a FINRLoanID has not been returned, and if not provided, the system will reject.	C
5	FINRLoanID	String(10)	Loan identifier returned to the Covered Person by FINRA.  Required for modifications of loans on R+n, and if not provided, the system will reject.	C
6	eventDateTime	Date Time	Date and time on which the loan modification was effected.  Must not be prior to system start date or the system will reject.	R
7	legalNameSecurityIssuer	String(255)	Legal name of the security issuer. Example: "Alphabet Inc"	O
8	leiSecurityIssuer	String(20)	Legal Entity Identifier (LEI) of the security issuer.	O
9	securityIndicator	String(1)	The type of security in the securityIdentifier field. Values: S – Symbol C – CUSIP I – ISIN F – FIGI	O
10	securityIdentifier	String(16)	Identifier for the security corresponding to the securityIndicator provided. System will reject if securityIdentifier is not found.	O
11	borrowerType	String(2)	Type of entity represented by the borrower Values: BD - Broker dealer CD - Custodian CT - Customer CA - Clearing Agency BK - Bank	O

Modify Loan Event				
Seq #	JSON Field Name	Data Type	Description	Include Key
			OP - Other Person	
12	termDate	Date	Date on which the loan's term ends.  Will be blank if the loan is an open loan.	O
13	equityShares	Decimal(13,4)	Current number of shares in the equity product loan. Use if security is an equity. Represents the new number of equityShares after the modification (not the delta). May not be less than zero, or the system will reject. Only one of equityShares or parValue may be provided or the system will reject.  Applicable to CAT reportable securities.	O
14	parValue	Decimal(13,4)	Current parValue of the loan for fixed income securities. Use if security is fixed income. Represents the new parValue after the modification (not the delta). Only one of equityShares or parValue may be provided or the system will reject.  May not be less than zero, or the system will reject. Applicable to TRACE and RTRS reportable securities.	O
15	collateralType	String(7)	Type of collateral securing the loan. Values: CASH - Cash NONCASH – Non Cash	O
16	collateralCurrency	String(3)	ISO-4217 Currency Code for the loan. Examples (not limited to): USD – US Dollars EUR – Euro CAD – Canadian Dollars  Must be populated if collateralType is changed to CASH and if not provided, the system will reject.	O
17	requiredPctCollateral	Percentage	Required percentage of collateral to value or Reportable Securities loaned to secure the loan.	O
18	lendingFee	Percentage	Securities lending fee; value may be positive or negative.  Only one of lendingFee, rebateRate, or otherFees may be populated on a loan. If more than one or none are populated on a loan, the system will reject.  If the loan is modified to switch from a	O

### Modify Loan Event

Seq #	JSON Field Name	Data Type	Description	Include Key
			lendingFee to a rebateRate (or otherFees), then submit a null for the field being removed and submit the value in the new field. E.g. "lendingFee" : null, "rebateRate" = 5.25	
19	rebateRate	Percentage	<p>Rebate rate on the loan, value may be positive or negative.</p> <p>Only one of lendingFee, rebateRate, or otherFees may be populated on a loan. If more than one or none are populated on a loan, the system will reject.</p> <p>If the loan is modified to switch from a rebateRate to a lendingFee (or otherFees), then submit a null for the field being removed and submit the value in the new field. E.g. "rebateRate" : null, "lendingFee" = -5.25</p>	O
20	otherFees	Decimal(19,4)	<p>Value of other fees or charges on the loan. Value may be positive or negative. Report in USD using the exchange rate on the date of the event.</p> <p>Only one of lendingFee, rebateRate, or otherFees may be populated on a loan. If more than one or none are populated on a loan, the system will reject.</p>	O
21	benchmarkName	String(4)	<p>Name of the benchmark or reference rate used to calculate the rebate.</p> <p>Values TBD</p> <p>OTHR – Other Benchmark not listed</p> <p>If benchmarkName is modified without a modification to benchmarkSpread, benchmarkSpread must have been previously reported or the system will reject.</p>	O
22	benchmarkOtherDesc	String(100)	Description of benchmark if OTHR reported.	C
23	benchmarkSpread	Percentage	<p>Spread used to calculate the rebateRate from the benchmark or reference rate.</p> <p>May be positive, 0 or negative. If spread is flat, submit 0.</p> <p>For example:</p> <ul style="list-style-type: none"> <li>A benchmark value of 5.00, if the rebateRate is 4.90, then the benchmarkSpread is -.10.</li> <li>A benchmark value of 5.00, if the rebateRate is 5.20, then the benchmarkSpread is .20.</li> </ul> <p>If benchmarkSpread is modified without a</p>	O

Modify Loan Event				
Seq #	JSON Field Name	Data Type	Description	Include Key
			modification to benchmarkName, benchmarkName must have been previously reported or the system will reject.	
24	offMarketIndicator	String(1)	RebateRate or lendingFee is away from prevailing market rates. Provide on the Modify Loan Event when a price change occurs away from prevailing market rates. Y – Yes	V
25	exclusiveArrangementFlag	String(1)	Covered Securities Loan was effected pursuant to an exclusive arrangement. Y – Yes	V

## Cancel Event

A Cancel Event is a data editing report type used to remove a single reported event reported to SLATE. A Delete Loan Event may not be cancelled.

Cancel Loan Event				
Seq #	JSON Field Name	Data Type	Description	Include Key
1	reportType	String(1)	Submit 'X'.	R
2	coveredPersonMPID	String(5)	Identifies the MPID of the Covered Person in the securities loan being reported.	R
3	fileRecordId	String(50)	Sequence of events for the Covered Person across all events within a reported file. See Record Identifiers section for more information. System will reject records with duplicated fileRecordId.	R
4	parentFINRAControlNumber	Integer	FINRA Control Number of the parent event in which this event is intended to link. Required for events reported on R+n.	C
5	parentFileRecordId	String(50)	FileRecordID of the original record being cancelled. Only may be used on R0.	C

## Correction Event

The Correction Event is a data editing report type used to replace specific fields on a previously reported event that were reported incorrectly. The coveredPersonMPID, fileRecordId, and FINRAControlNumber fields are reference fields to identify the record being corrected, and these fields themselves may not be corrected. If any one of these fields needs to be corrected, the original loan report must be removed by submitting a Delete Loan Event, and the original loan report along with its modifications must be resubmitted. Other than the fields required to identify the record being corrected, report only the field(s) being corrected. If the correction to a field is intended to replace the populated value with a null, explicitly send the field with a null value (e.g. {"otherFees": null} ). If a subsequent Correction Event is required (e.g. to fix a field a second time or to correct additional fields), report another Correction Event pointing (the FINRA Number) to the original record being corrected, not to the previous correction. In other words, a Correction Event itself may not be corrected. If multiple Correction Events point to the same event, they will all be processed in order of receipt and updates will process incrementally. Also note that loan party information may not be corrected. If loan party information must be changed, delete the loan and resubmit its events.

Correction Event				
Seq #	JSON Field Name	Data Type	Description	Include Key
1	reportType	String(1)	Submit 'C'.	R
2	coveredPersonMPID	String(5)	Identifies the MPID of the Covered Person in the securities loan being reported.	R
3	fileRecordId	String(50)	Sequence of events for the Covered Person	R

Correction Event				
Seq #	JSON Field Name	Data Type	Description	Include Key
			across all events within a reported file. See Record Identifiers section for more information. System will reject records with duplicated fileRecordId.	
4	clientUniqueLoanID	String(40)	Unique identifier assigned to the Covered Securities Loan by the Covered Person responsible for reporting the loan.  clientUniqueLoanID itself cannot be corrected; If it must be corrected, a Delete Loan Event must be submitted and the loan re-reported.	O
5	omniLoanId	String(40)	Covered Person's unique identifier for the omnibus loan. May be provided to identify where the Covered Securities Loan reported to the system is an allocation of agency loan and multiple loan reports may be related to the single omnibus loan.	V
6	parentFINRAControlNumber	Integer	FINRA Control Number of the parent event in which this event is intended to link. Required for events reported on R+n.	C
7	parentFileRecordId	String(50)	fileRecordId of the original record being corrected or cancelled. Only may be used on R0.	C
8	eventDateTime	Date Time	Date and time on which the terms of the loan event were effected.  Must not be prior to system start date and may not be in the future or the system will reject.	O
9	loanEffectedDateTime	Date Time	Date the original loan was effected.	O
10	terminationDate	Date	Date the loan is terminated. Will reject if date is before System Start Date or is a future date.	O
11	legalNameSecurityIssuer	String(255)	Legal name of the security issuer. Example: "Alphabet Inc"	O
12	leiSecurityIssuer	String(20)	Legal Entity Identifier (LEI) of the security issuer.	O
13	securityIndicator	String(1)	The type of security in the securityIdentifier field. Values: S – Symbol C – CUSIP I – ISIN F – FIGI	O
14	securityIdentifier	String(16)	Identifier for the security corresponding to the	O

Correction Event				
Seq #	JSON Field Name	Data Type	Description	Include Key
			securityIndicator provided.  System will reject if securityIdentifier is not found.	
15	borrowerType	String(2)	Type of entity represented by the borrower. Values: BD - Broker dealer CD - Custodian CT - Customer CA - Clearing Agency BK - Bank OP - Other Person	O
16	settlementDate	Date	Date on which the loan is expected to settle.	V
17	termDate	Date	Date on which the loan's term ends. Will reject if termDate precedes date portion of eventDateTime.	O
18	executionPlatformVenue	String(4)	ISO 10383 Market Identifier Code (MIC) for the venue or platform on which the loan was executed.  Values other than MIC codes: MANU - Manual (e.g. not executed on an automated platform) PREX - Unknown (for pre-existing loans) OTHR - Other platform or venue; MIC not listed. If OTHR is selected, executionPlatformName must be provided or the system will reject. If correcting a submitted executionPlatformName, OTHR must also be resubmitted on the correction or the system will reject. System will reject if submitted value is undefined.	O
19	executionPlatformName	String(255)	If OTHR specified for executionPlatformVenue, the name or description of that venue is required or the system will reject.	C
20	equityShares	Decimal(13,4)	Current number of shares in the equity product loan. Required if security is an equity. System will reject if both equityShares and parValue are reported.  Applicable to CAT reportable securities.	O
21	parValue	Decimal(13,4)	Current parValue of the loan for fixed income securities. Required if security is fixed income. System will reject if both equityShares and parValue are reported. Applicable to TRACE and RTRS reportable	O

Correction Event				
Seq #	JSON Field Name	Data Type	Description	Include Key
			securities.	
22	collateralType	String(7)	Type of collateral securing the loan. Values: CASH - Cash NONCASH – Non Cash	O
23	collateralCurrency	String(3)	ISO-4217 Currency Code for the loan. Examples (not limited to): USD – US Dollars EUR – Euro CAD – Canadian Dollars  Must be populated if collateralType is CASH or the system will reject.	O
24	requiredPctCollateral	Percentage	Required percentage of collateral to value of Reportable Securities loaned to secure the loan.	O
25	lendingFee	Percentage	Securities lending fee; value may be positive or negative.  Only one of lendingFee, rebateRate, or otherFees may be populated on a loan. If more than one or none are populated on a loan, the system will reject.	O
26	rebateRate	Percentage	Rebate rate on the loan, value may be positive or negative.  Only one of lendingFee, rebateRate, or otherFees may be populated on a loan. If more than one or none are populated on a loan, the system will reject.  If benchmarkName or benchmarkSpread are provided, rebateRate must be provided or the system will reject.	O
27	otherFees	Decimal(19,4)	Value of other fees or charges on the loan. Value may be positive or negative. Report in USD using the exchange rate on the date of the event.  Only one of lendingFee, rebateRate, or otherFees may be populated on a loan. If more than one or none are populated on a loan, the system will reject.	O
28	benchmarkName	String(4)	Name of the benchmark or reference rate used to calculate the rebate.  Values TBD  Must be provided if benchmarkSpread is	O

Correction Event				
Seq #	JSON Field Name	Data Type	Description	Include Key
			provided or the system will reject	
29	benchmarkOtherDesc	String(100)	Description of benchmark if OTHR reported.  Must be provided if OTHR is selected for benchmarkName or the system will reject.	O
30	benchmarkSpread	Percentage	Spread used to calculate the rebateRate from the benchmark or reference rate.  May be positive, 0 or negative. If spread is flat, submit 0. For example: <ul style="list-style-type: none"> <li>• A benchmark value of 5.00, if the rebateRate is 4.90, then the benchmarkSpread is -.10.</li> <li>• A benchmark value of 5.00, if the rebateRate is 5.20, then the benchmarkSpread is .20.</li> </ul> Must be provided if benchmarkName is provided and if not provided, the system will reject	O
31	offMarketIndicator	String(1)	RebateRate or lendingFee is away from prevailing market rates. Y – Yes	V
32	exclusiveArrangementFlag	String(1)	Covered Securities Loan was effected pursuant to an exclusive arrangement: Y – Yes	V
33	sourceOfLoan	String(1)	Indicates whether the lender obtained the securities loaned from its inventory: Y - Inventory N - Not from Inventory  Select Y if any portion of the loan was obtained from inventory.	O
34	loanCloseOutFTD	String(1)	Indicates whether the Covered Securities Loan is being used to close out a failure to deliver pursuant to Rule 204 of RegSHO or otherwise: Y = Used to cover a FTD N = Not used to cover a FTD If unknown, field may be left blank  Select Y if any portion of the loan was used to close out a failure to deliver.	O

## Delete Loan Event

The Delete Loan Event is a data editing report type used to remove a loan in its entirety from the SLATE system, including its child events. A Delete Loan Event may not be cancelled or corrected. A loan may be resubmitted along with its child events after a Delete Loan Event has been processed.

Delete Loan Event				
Seq #	JSON Field Name	Data Type	Description	Include Key
1	reportType	String(1)	Submit 'D'.	R
2	coveredPersonMPID	String(5)	Identifies the MPID of the Covered Person in the securities loan being reported.	R
3	fileRecordId	String(50)	Sequence of events for the Covered Person across all events within a reported file. See Record Identifiers section for more information. System will reject records with duplicated fileRecordId.	R
4	clientUniqueLoanId	String(40)	Unique identifier assigned to the Covered Securities Loan by the Covered Person responsible for reporting the loan. May be used to identify Loans reported only on day R0. On R0, one of clientUniqueLoanId or FINRALoanId is required or the record will reject.	C
5	FINRALoanId	String(10)	Loan identifier returned to the Covered Person by FINRA. Required for deletions of loans on R+n. System will reject if is not populated on R+n.	C

## Terminate Loan Event

The Terminate Loan Event is used to terminate a loan. The Terminate Loan Event may be cancelled, and SLATE system will return to the current state of the loan as of the most recent event determined by eventDateTime. Firms may report the loan's final loan amount in this termination event, without submitting a separate modification event.

Terminate Loan Event				
Seq #	JSON Field Name	Data Type	Description	Include Key
1	reportType	String(1)	Submit 'T'.	R
2	coveredPersonMPID	String(5)	Identifies the MPID of the Covered Person in the securities loan being reported	R

### Terminate Loan Event

Seq #	JSON Field Name	Data Type	Description	Include Key
3	fileRecordId	String(50)	Sequence of events for the Covered Person across all events within a reported file. See Record Identifiers section for more information. System will reject records with duplicated fileRecordId.	R
4	clientUniqueLoanId	String(40)	Unique identifier assigned to the Covered Securities Loan by the Covered Person responsible for reporting the loan. Used to identify Loans reported only on day R0. On R0, one of clientUniqueLoanId or FINRALoanId is required or the record will reject.	O
5	FINRALoanId	String(10)	Loan identifier returned to the Covered Person by FINRA. Required for termination of loans on R+n. System will reject if not populated on R+n.	C
6	eventDateTime	DateTime	Date and time on which the loan was closed. May be in the past, but must not be prior to system start date or the system will reject. System will reject if value is prior to the EventDateTime of the New Loan Event System will reject if date is a future date.	R
7	equityShares	Decimal(13,4)	The outstanding loan quantity at the time of the termination event; may be zero or non-zero, but may not be negative.  If original loan did not settle, do not modify share quantity of the original loan event. If loan was fully returned and terminated, provide 0. System will reject if neither or both equityShares and parValue are reported (i.e., only one of equityShares or parValue must be populated).  Applicable to CAT reportable securities.	C
8	parValue	Decimal(13,4)	The outstanding loan quantity at the time of the termination event; may be zero or non-zero, but may not be negative.  If original loan did not settle, do not modify the par value of the original loan event. If loan was fully returned and terminated, provide 0. System will reject if neither or both equityShares and parValue are reported (i.e., only one of equityShares or parValue must be populated).  Applicable to TRACE and RTRS reportable securities.	C

# Submission Process

## fileX

### About fileX

fileX is a centralized, secure file transfer platform where firms can send, track and receive files in one place. fileX significantly streamlines the process for submitting bulk filings to FINRA, provides additional options for submitting those filings to FINRA, and allows for seamless authentication and authorization. fileX supports multiple access methods to send/receive files, and a customer may choose to use any of the supported access methods to transfer file(s).

### Accessing FINRA fileX

fileX supports three access methods detailed below:

- FINRA customers can upload or download files through Secure File Transfer Protocol (SFTP), a standard file transfer mechanism to securely transmit files between systems/machines. fileX supports the full security and authentication functionalities provided by SFTP.
- FINRA customers can upload or download files using REST APIs over HTTPS protocol. Customers can make standard REST API calls to the endpoint URL with valid credentials for authentication. REST API calls are encrypted through HTTPS.
- FINRA customers can upload or download files natively through AWS S3 APIs. Customers who are already using Amazon AWS S3 can take advantage of this method to send/receive files directly to/from their S3 bucket.

Refer to the fileX User Guide for more detailed information at:

<https://www.finra.org/filing-reporting/data-transfer-tools/fileX>

It contains information describing:

- Environments and Connectivity
- SFTP Transfer
- HTTPS REST API Endpoints
- AWS S3 Direct Transfer
- Entitlement Access and Control
- HTTPS REST API
- Troubleshooting and FAQs

FINRA recommends customers test in lower environments before cutting over to production.

## Inbound Files

### File Naming

Field Name	Data Type	Description	Include Key
Submitter MPID	String(5)	<p>MPID of the entity that submitted the file to SLATE. MPID may be that of a Service Bureau, Reporting Agent, or the Covered Person. Must be upper case or system will reject.</p> <p>Must be followed by an underscore '_' or system will reject.</p> <p>In example below, represented as SMPID</p>	R
Reporting Agent MPID	String(5)	<p>MPID of the Reporting Agent, if exists. If no Reporting Agent exists, then use the MPID of the Covered Person. Must be upper case or system will reject.</p> <p>Must be followed by an underscore '_' or system will reject.</p> <p>In example below, represented as RMPID</p>	R
Covered Person MPID	String(5)	<p>The MPID of the Covered Person. Must be upper case or system will reject.</p> <p>Must be followed by an underscore '_' or system will reject.</p> <p>In example below, represented by CMPID.</p>	R
File Generation Timestamp	Date Time	<p>The date and time in Eastern Time the file was generated or reported. Used to guarantee uniqueness of a file across dates. If files contain the same DateTime, the original file will be accepted and subsequent files with same File Generation Timestamp will be rejected.</p> <p>Date and time must be earlier than the file receipt date and time or system will reject.</p> <p>DateTime must be in format YYYYMMDDHH24MISS or system will reject.</p> <p>Must be followed by a dot '.' or system will reject.</p>	R
Format Extension	String(4)	<p>Represents the format of the data submission. Submissions must set to lower case 'json' or system will reject. Case sensitive.</p> <p>Must be followed by a dot '.' or system will reject</p>	R
Compression Extension	String(3)	<p>Set to lower case 'bz2' or system will reject. Case sensitive.</p>	R

< Submitter MPID>\_<Reporting Agent MPID>\_<Covered Person MPID>\_<File Generation Timestamp>.<Format Extension>.<Compression Extension>

With:

- SMPID = Submitter MPID
- RMPID = Reporting Agent MPID
- CMPID = Covered Person MPID
- 20260101093001= File Generation Timestamp

Examples:

Sceanrio	File Name
Self Reporting Covered Person	CMPID_CMPID_CMPID_20260101093001.json.bz2
Reporting Agent for Covered Person	RMPID_RMPID_CMPID_20260101093001.json.bz2
Service Bureau for Covered Person	SMPID_CMPID_CMPID_20260101093001.json.bz2
Service Bureau with Reporting Agent	SMPID_RMPID_CMPID_20260101093001.json.bz2

#### File Submission Guidelines

- A single End Of Day file may be submitted with all events.
- Multiple incremental files may be submitted throughout the day.
- Files will be processed in File Generation Timestamp order to handle intraday event sequencing. Events within a file will be processed in order of fileRecordId.
- Duplicate filenames will be rejected.

## Outbound Files

### Feedback Availability

Seq	Processing Stage	Feedback	Typical Delivery
1	File Acknowledgement	File Naming and Timeliness	Within 1 hour of File Submission
2	File Integrity	File Integrity	Within 2 hours of File Acknowledgement Feedback
3	File Ingestion	Record level format and business validations resulting in accepted and processed transaction files, rejected transaction files	Within 4 hours of File Integrity Feedback

Files submitted outside of SLATE System Hours will be rejected, and must be resubmitted on the next business day.

File Acknowledgement, File Integrity, Accepted Events File and Rejected Events files will be returned to the submitting organization, the Covered Person, and the Reporting Agent, if applicable.

Feedback files will be in JSON format.

### File Acknowledgement

The file acknowledgement processing stage is where files are received and processing is initiated. Every file submission is acknowledged and file names are validated.

Feedback files will be in JSON format.

Acknowledged files will return a feedback file named <submittedFileName>.ack.accept  
 Rejected files will return a feedback file named <submittedFileName>.ack.reject  
 Both files will contain the following information block:

#### File Acknowledgement Feedback File

Seq	Name	Data Type (Length)	Description
1	fileName	String(90)	File name as submitted for which feedback is being provided.
2	receiptTimestamp	Date Time	Date and time the file was received. Timestamp will be in STRING format:YYYY-MM-DDTHH24:MI:SS.nnn
3	processCompleteTimestamp	Date Time	Time the FINRA process completed Timestamp will be in STRING format:YYYY-MM-DDTHH24:MI:SS.nnn
4	status	String(7)	'Success' in accept file 'Failure' in reject file
5	warningCodes	List of Strings	Code(s) representing file level warnings
6	errorCodes	List of Strings	Code(s) representing file level rejections

Files containing an Error will be rejected. Files containing Warnings will be accepted unless the file also contains an Error.

### *File Acknowledgement Error Codes and Reasons*

Error Code	Explanation	Error/Warning
1000	Filename does not contain all of the expected elements, extensions and/or delimiters.	Error
1001	Submitter MPID is in unexpected format (e.g. lowercase, more than 5 characters, not delimited correctly).	Error
1002	Covered Person MPID is in unexpected format (e.g. lowercase, more than 5 characters, not delimited correctly).	Error
1003	File Generation Timestamp is in an unexpected format.	Error
1004	Reporting Agent MPID is in unexpected format (e.g. lowercase, more than 5 characters, not delimited correctly).	Error
1006	File type must be json, lowercase.	Error
1007	File compression must be bz2, lowercase.	Error
1010	Submitter MPID is not authorized for SLATE for the reporting date.	Error
1015	Reporting Agent MPID is not authorized for SLATE for the reporting date.	Error
1016	Reporting Agent MPID may not be a service bureau.	Error
1017	Covered Person MPID may not be a service bureau.	Error
1018	Covered Person MPID is not authorized for the reporting date.	Error
1025	Submitter MPID does not have reporting agreements with the coveredPersonMPID for the reporting date.	Error
1026	Submitter MPID does not have reporting agreements with the Reporting Agent for the reporting date.	Error
1027	Reporting Agent MPID does not have reporting agreements with the Covered Person for the reporting date.	Error
1031	File Generation Timestamp is prior to the system start date.	Error
1032	File Generation Timestamp may not be a future date.	Error
1100	File received outside System Hours	Error
1110	Exact Filename is a duplicate of a previously accepted file	Error
1120	File exceeds maximum size	Error

## File Integrity Feedback

The File Integrity processing stage validates checks at the file level. It validates in reference data that the MPIDs in the file name have authorizations and agreements in place. It opens the file and determines that it is uncompressable and the JSON is parsable.

If SLATE identifies records where the Covered Person on the record does not match the Covered Person in the file name, the entire file will be rejected.

Files passing the Integrity state will return a feedback file named <submittedFileName>.integrity.accept

Rejected files will return a feedback file named <submittedFileName>.integrity.reject

Both files will be JSON content files containing the following information block:

Seq	Name	Data Type (Length)	Description
1	fileName	String(90)	File name as submitted for which feedback is being provided.
2	receiptTimestamp	Date Time	Date and time the file was received. Timestamp will be in STRING format:YYYY-MM-DDTHH24MISS.nnn
3	processCompletedTimestamp	Date Time	Date and time the file completed Integrity validation. Timestamp will be in STRING format:YYYY-MM-DDTHH24:MI:SS.nnn
4	status	String(7)	'Success' in accept file 'Failure' in reject file
5	warningCodes	List of Strings	Code(s) representing file level warning reason(s) eg { "warningCodes": ["1234", "2345"] }
6	errorCodes	List of Strings	Code(s) representing rejection reasons eg { "errorCodes": ["1234", "2345"] }

## File Integrity Error Codes and Reasons

Error Code	Explanation	Error/Warning
1050	coveredPersonMPID must be the same on all records within a file	Error
1905	JSON parsing error – list entry is not an element (an open brace was expected but not found)	Error
1910	JSON parsing error – Not a List (something was received after the list, or	Error

Error Code	Explanation	Error/Warning
	something other than an open/close brace was found)	
1915	File identified as bz2 but could not be opened as bz2.	Error

## File Ingestion Feedback

### Accepted Events File

SLATE will provide an Accepted Events file, returning the FINRALoanID, and FINRAControlNumber along with record level identifiers. It will also contain attribute level warnings if applicable. It will also indicate if the accepted records were submitted late (e.g. after day T).

Layouts of Accepted Events file and Rejected Events file are purposely consistent, and fields that do not apply will not be populated. Records containing an error will be rejected. Records containing a warning will be accepted unless the record also contains an error, in which case it will be rejected. Both files will be JSON content files.

Accepted Events files will return a feedback file named <submittedFileName>.ingestion.accept.bz2 containing the following information block:

Seq	JSON Name	Data Type (Length)	Description
1	clientUniqueLoanId	String(40)	Covered Person submitted clientUniqueLoanID
2	coveredPersonMPID	String(5)	Covered Person's Market Participant Identifier
3	eventDateTime	Date Time	Event Date Time of the submitted record
4	fileRecordId	String(50)	fileRecordId of the submitted record
5	reportType	String(1)	Record type of the submitted record
6	FINRAControlNumber	Integer	Control Number, uniquely identifying a transaction, returned by FINRA's system
7	FINRALoanId	String(10)	FINRA generated unique loan id returned by FINRA's system. Will not be populated if record was rejected, but will be populated if record was accepted or accepted with a warning.
8	processCompleteTimestamp	Date Time	Date and time the FINRA validation stage completed. Timestamp will be in STRING format:YYYY-MM-DDTHH24:MI:SS.nnn
9	lateReportIndicator	String(1)	Indicator if the record was submitted on time on date T or late after day T. Y – Yes

Seq	JSON Name	Data Type (Length)	Description
			N – No
10	warningCodes	List of Strings	Code(s) representing record validation reasons. System will return an empty string if no warnings were found. eg { "warningCodes": ["1234", "2345"] }
11	errorCodes	List of Strings	Code(s) representing record validation reasons. System will return an empty string if no warnings were found. eg { "errorCodes": ["1234", "2345"] } Will be empty in Accepted Events File.
12	jsonErrorText	String	Error text returned by the json schema validation. Will be empty in the Accept file.
13	rawRecord	String	String representation of the raw JSON record submitted. JSON reserved characters will be escaped with a backslash '\'. Applies only to the reject file. Will be empty in the accept file.

### Rejected Events File

SLATE will provide a Rejected Events file containing records that failed record level validations. Records that pass validations within the same submission file will be accepted even if the submission file contains some record level rejections. If SLATE determines two records within a file are duplicates, it will accept the first record and reject the second.

If all records are accepted, the system will return an empty reject file.

Rejected Events files will return a feedback file named <submittedFileName>.ingestion.reject.bz2 containing the below information block:

Seq	JSON Name	Data Type (Length)	Description
1	clientUniqueLoanId	String(40)	Covered Person submitted clientUniqueLoanID

Seq	JSON Name	Data Type (Length)	Description
2	coveredPersonMPID	String(5)	Covered Person's Market Participant Identifier
3	eventDateTime	Date Time	Event Date Time of the submitted record
4	fileRecordId	String(50)	fileRecordId of the submitted record
5	reportType	String(1)	Record type of the submitted record
6	FINRAControlNumber	Integer	Control Number, unique to the date, returned by FINRA's system
7	FINRALoanId	String(10)	FINRA generated unique loan id returned by FINRA's system. Will not be populated if record was rejected, but will be populated if record was accepted or accepted with a warning.
8	processCompleteTimestamp	Date Time	Date and time the FINRA validation stage completed. Timestamp will be in STRING format:YYYY-MM-DDTHH24:MI:SS.nnn
9	lateReportIndicator	String(1)	Will not be provided on Rejected Events File.
10	warningCodes	List of Strings	Code(s) representing record validation reasons. System will return an empty string if no warnings were found. eg { "warningCodes": ["1234", "2345"] }
11	errorCodes	List of Strings	Code(s) representing record validation reasons. System will return an empty string if no warnings were found. eg { "errorCodes": ["1234", "2345"] }
12	jsonErrorText	String	Error text returned by the json schema validation.
13	rawRecord	String	String representation of the raw JSON record submitted. JSON reserved characters will be escaped with a backslash '\.