VENDOR REPORTING VIA XLS/CSV FILE

GUIDANCE

13 November 2017

TABLE OF CONTENTS

VENDOR REPORTING VIA XLS/CSV FILE

NYSE Market Data accepts monthly vendor reports in a .xls or .csv (comma separated values) file uploaded at the dashboard.theice.com.

TOTAL INVENTORY RULE

NYSE Market Data procedures require vendors to report their total inventory every month. A reporting period is defined as the 16th of Month 'A' through the 15th of Month 'B'. For example, the reporting period for June is May 16 – June 15. In essence, the Vendor should take a "snapshot" of their database as of the 15th of the month at 23:59 ET (the end of the reporting period) and report that data to the NYSE.

The NYSE procedures require vendors to report their total inventory every month. If, for a given month, a vendor does not submit a report, then they will be required to report for the months missed in addition to the current month in their next report.

MONTHLY REPORTING GUIDELINES

The NYSE constitutes that if a product is active at a location on the 15th of the month, then it is to be reported with a quantity for that month. For example, if a single device is in use during the June reporting period – then it should be reported with a quantity of 1 for June.

There is one exception to this rule. If a product becomes active in the same reporting period that it becomes inactive it must be reported for that month. Therefore, if a product is activated on May 22 and then deactivated on June 4 – then it is to be reported with a quantity of 1 for June, and then in next month's file (July) be reported with a quantity of 0 (and made inactive if appropriate).

If the vendor has fulfilled their reporting obligation for the current month then they are allowed to submit files that do not contain all reportable product's quantities. For example, if the vendor is up to date, the vendor could submit a file that simply adds a reporting contact and does not contain any inventory.

LAYOUT SPECIFICATIONS

The .xls file must be with minimal formatting, no macros, or blank lines between rows or columns. The .csv file must have a .csv extension and contain standard ASCII characters.

Each spreadsheet column (data element) is classified as one of four categories: Required, Required/Lookup, Optional, and Undefined.

- **Required:** Required columns must have a data element for every row (inventory change transaction) in the spreadsheet. Invalid or blank elements will cause the entire spreadsheet to be rejected.
- **Required/Lookup:** Required/Lookup columns can be omitted or have blank values (cells) so long as the data elements for that account exist in our system. If the data elements cannot be found in our system, errors will be generated and the spreadsheet will be rejected.
- **Optional:** Optional columns do not have to be included in the spreadsheet or the cells can be blank. If the column cells are blank, or not found in the spreadsheet, no errors will be generated.
- **Undefined:** Undefined columns are any columns that do not have headings as specified in the spreadsheet layout. These columns will be ignored. There cannot be undefined columns after the EffDate column.

Each file must be organized into two parts: customer information and transaction information. For each row, there can only be one set of customer information. There must be at least one set of transaction information, but optionally, there can be multiple sets of transaction information columns. With multiple sets of transaction information columns, each set would be used to report a different product code.

If the Action column is included, the Changeqty column must be a positive number and the 'A' or 'D' in the Action column indicates whether the Changeqty has been added or deleted from the account.

If the Action column is not included, the Changeqty must be a positive quantity for additions, and negative for deletions.

Data Elements

Column Name	Type/Size	Description
Customer Information		
Account	C/20	Required. Location account number
Paccount	C/20	Optional. Parent account number. Can be the same as Account.
ShortName	C/7	Optional. Alpha name sort
Name1	C/35	Required
Name2	C/35	Optional
Address1	C/35	Required/Lookup
Address2	C/35	Optional
Address3	C/35	Optional
City	C/35	Required/Lookup
State	C/20	Required/Lookup (only for USA)
PostCode	C/20	Required/Lookup (only for USA)
Country	C/30	Required/Lookup
LocType	C/10	Optional. Blank, Internal, or External Only
ContactLName	C/35	Optional. Contact Last Name
ContactFName	C/35	Optional. Contact First Name
Telno	C/100	Optional
Faxno	C/100	Optional
Email	C/100	Optional

Column Name	Type/Size	Description
EffDate	Date	Required. Effective date of update MM/DD/YYYY
Transaction Information		
Product	C/15	Required
CurrentTotal	N	Ignored
Changeqty	N	Ignored
Action	C	Ignored
Newtotal	N	Required (Current Total - ChangeQty) must be a positive quantity

UPLOADING FILE

To submit a file:

1. log into dashboard.theice.com

2. select the relevant account

3. hover over TOOLS on the top navigation bar and select Upload File under Vendor Reporting

4. upload the file as instructed

Once the file is uploaded, an automated process will read through the file until a blank line is encountered and processing is stopped. File validation consists of two stages.

Errors found during the first stage will be displayed right after the file is uploaded. Errors must be corrected and the file re-uploaded for the report to be processed.

Errors found during the second stage will be communicated via email. If the file is error free, the report will be processed. Total database validation is performed during the second stage.

Error checks performed include:

- Missing required column

- Invalid or missing data element

- Required/Lookup data element not found in spreadsheet or our system

- Invalid Product Code

ADDITIONAL INFORMATION

Report Template

QUESTIONS

If you have any questions, please contact your account manager.