



## Consolidated Tape Association

### Nonprofessional User Certification (UCert) UCert Data File Requirements and Naming Convention

#### File Structure

Below are the specific Exhibit B data input file requirements and instructions that Vendors must comply with in order to successfully leverage UCert.

**Input File Naming Convention:** AccountName\_VendorInquiry.dat

**File Type:** Text Data file.

**Delimiter:** “|” pipe delimited file.

**End of line:** “\n” New Line

**Transmission:** FTP, SFTP

**Column Header:** Yes

#### Exhibit B Data Requirements

Exhibit B Data requirements must be complied to avoid the Vendor Inquiry files from being rejected by the Tool. UCert will only run its process when files are structured as described.

Column Name	Details	Format	Delimiter	Required/Optional
USER_ID	Unique Ex B User Identifier	Text	" "	Required
SUBSCRIBERS_LAST_NAME	Person's Last name	Text	" "	Required
SUBSCRIBERS_FIRST_NAME	Person's First Name	Text	" "	Required
SUBSCRIBERS_MIDDLE_NAME	Person's Middle Name	Text	" "	Optional
SUBSCRIBERS_SUFFIX_NAME	Jr., MD, Esq.	Text	" "	Optional
SUBSCRIBERS_ADDRESS_ST_1	Current Street Address	Text	" "	Required
SUBSCRIBERS_ADDRESS_ST_2	Apartment Number	Text	" "	Optional
SUBSCRIBERS_CITY	City	Text	" "	Required
SUBSCRIBERS_STATE	State (Abbreviated)	Text	" "	Required
SUBSCRIBERS_ZIP_CODE	5 Digit Zip Code	Text	" "	Required
SUBSCRIBERS_COUNTRY	Country	Text	" "	Required
EMPLOYERS_NAME	Name of Employer	Text	" "	Required
EMPLOYERS_ADDRESS	Address of Employer	Text	" "	Required
EMPLOYERS_CITY	City of Employer	Text	" "	Required
EMPLOYERS_STATE	State of Employer	Text	" "	Required
EMPLOYERS_ZIP_CODE	Zip Code of Employer	Text	" "	Required
EMPLOYERS_COUNTRY	Country of Employer	Text	" "	Required
SUBSCRIBERS_OCCUPATION	Occupation	Text	" "	Required

SUBSCRIBERS_TITLE/POSITION	Title or Position	Text	" "	Required
SUBSCRIBERS_EMPLOYMENT_FUNCTION	Description of employment function	Text	" "	Required
MPID_TRADER_NAME_OR_ID_USED		Text	" "	If available
SUBSCRIBERS_EMAIL_ADDRESS		Text	" "	If available
SUBSCRIBERS_TELEPHONE_NUMBER		Text	" "	If available
ACCOUNT_TYPE	S Corp, LLC, Joint, Trust	Text	" "	If applicable
Q1	11 qualifying questions "Y" or "Yes" or "N" or "No"	Text	" "	Required
Q2	11 qualifying questions "Y" or "Yes" or "N" or "No"	Text	" "	Required
Q3	11 qualifying questions "Y" or "Yes" or "N" or "No"	Text	" "	Required
Q4	11 qualifying questions "Y" or "Yes" or "N" or "No"	Text	" "	Required
Q5	11 qualifying questions "Y" or "Yes" or "N" or "No"	Text	" "	Required
Q6	11 qualifying questions "Y" or "Yes" or "N" or "No"	Text	" "	Required
Q7	11 qualifying questions "Y" or "Yes" or "N" or "No"	Text	" "	Required
Q8	11 qualifying questions "Y" or "Yes" or "N" or "No"	Text	" "	Required
Q9	11 qualifying questions "Y" or "Yes" or "N" or "No"	Text	" "	Required
Q10	11 qualifying questions "Y" or "Yes" or "N" or "No"	Text	" "	Required
Q11	11 qualifying questions "Y" or "Yes" or "N" or "No"	Text	" "	Required
DATE_AND_TIME_STAMP	Exhibit B date and time stamp	Text	" "	Required

### **Exhibit B Detail File Formatting Tips**

- All thirty six columns (36) are mandatory, and must be provided in the order as listed above.
- The Column Name fields (including any underscores) must appear exactly as listed in the Column Name.
- Should your system not have data for any of the "Required" fields, simply leave blank. Hand keying N/A or Null may impact the results. Please provide the information as maintained in your system, otherwise leave blank.
- The file must be uploaded to MFT in pipe delimited (.dat) format.

### **The following items will cause the file to fail or impact the results:**

- The "AccountName" part of Exhibit B file name should not have any spaces/dashes/underscores/punctuation marks. For example: ABC, LLC. should name the file as ABCLLC\_VendorInquiry.dat
- Password protecting the file.
- Reformatting or moving any of the column(s) order.
- Deleting the column if there are no records in your system for a particular column. Provide the information if maintained in your system, otherwise leave blank.
- Whitespaces or delimiters (|) at the end column thirty six, not just at the Column Name level but for the entire file itself.