



TAG DEFINITIONS

The following tags are used to clarify certain activity on the Trading Profit/(Loss) Analysis Reports.

- A** – Assigned Option. The closing option transaction is entered at zero value. The corresponding purchase or sale of the security is also noted with an A with the price being the shares times the strike price plus commission which may not be current market price.
- ACC-** Accretion. The cost basis of original issue bond that was bought at a discount is adjusted. Accretion is treated as interest.
- D** – Delivered to another firm. The delivered securities are valued based upon their closing price on the date of delivery unless the value is provided on the statement. ¹
- DE** - Discretion Entered
- DNE** - Discretion Not Entered
- DV** – Stock Dividend. Cost basis is entered at zero value.
- E** – Exercised position for underlying common stock. The closing option transaction is entered at zero value. The corresponding purchase or sale of the security is also noted with an E with the price being the shares times the strike price plus commission which may not be current market price.
- ELO** – Option expires without being assigned or exercised. Closing price entered as zero.
- ESO** – Option expires without being assigned or exercised. Closing price entered as zero.
- EX** – Exchanged for another Security. Cost basis on original securities is moved to the new security.
- EXM-** Mutual Fund Exchange. Exchanged one fund for another fund in the same Mutual Fund Family with no sales charge. Existing shares are sold at current Net Asset Value (NAV) and the total dollar amount is used to purchase shares of the new mutual fund at NAV.
- F** - Mutual fund activity at the fund usually from dividend reinvestments in which the shares on the account statement change but the transaction activity that created the change was not on the account statement. We use the month end closing price to value the share change which is entered as a purchase or sale.
- FC** - Foreign Currency
- J** – Journal entries to or from another account at the same firm. Actual cash received or withdrawn is shown. Journal entries of securities in or out of the account are valued based upon their closing prices on the activity date.¹ We balance both sides of the entry to each other if both accounts are analyzed.
- M-** Managed
- OV** – Opening Market Value of Securities in the account at the beginning of the period being analyzed.¹

- PXL** - Purchase transaction that was subsequently cancelled.
- R** - Securities Received into the account from another firm. The market value is based on the day's closing price on the date of receipt unless the value is provided on the statement.¹
- RED** - Redeemed
- REI**- Reinvested Income
- ROP** - Return of Principal.
- RSS**- Reverse Stock Split
- SHT**- Short Sale
- SOL** - Solicited
- SP** - Security is a spin off from another company with zero cost basis
- SS** - Stock Split
- SXL** - Denotes that a purchase transaction was subsequently cancelled and credits back the dollars deducted for the purchase.
- T** - Transfer and Shipped to the customer. Securities are valued at that closing price on the date of transfer unless the values is provided on the statement.¹
- TEN**- Tendered
- U**- Unmanaged
- USOL** - Unsolicited
- V** - Value of Securities in the account at the end of the period being analyzed normally obtained from The last statement.¹
- WE**- Warrant Exercise
- X** - Exchange of Rights, Warrants, Convertible Securities in which there is a cost to exchange. The original security is sold at the cost to exchange and the cost to exchange is shown as the cost basis on the security exchanged to.

¹ Closing prices are used for securities received or withdrawn from the account based upon the activity date shown on the statement. If we are unable to establish a value for a security on activity date, we utilize the value off of the previous or subsequent statement and this will be noted as a footnote on the report.