IEX OPTIONS CLEARING TRADE REPORT SPECIFICATION

Version 1.01

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OVERVIEW

The Clearing Trade Report summarizes all report allocations, including reversals and corrections executed locally or at an away market. Any corrected trades performed on a T+N basis are included for the trading day in which the correction occurred.

Recipients

This report is made available at MPID level for Order Entering firms and OCCID level for Clearing Firms.

Frequency and Timing

This report will be made available daily after 11 PM ET and monthly after 11 PM ET on the last business day of the month.

File Transfer Mechanism

All IEX Options reports will be made available via SFTP. Setup request form available here.

Please contact Market Operations for setup and with any questions.

Formatting, Naming Conventions, and Updates

1. All files will be comma delimited.
2. Header records will be provided.
3. Files will be compressed and delivered as.csv.gz. Naming conventions are as follows:

Recipient	Frequency	Naming Convention
MPID level	Daily	IEXO_EXEC_<CRD>_<MPID>_{YYYY.MM.DD}.csv.gz
MPID level	Monthly	IEXO_EXEC_<CRD>_<MPID>_{YYYY.MM}.csv.gz
OCCID level	Daily	IEXO_EXEC_<CRD>_<OCCID>_{YYYY.MM.DD}.csv.gz
OCCID level	Monthly	IEXO_EXEC_<CRD>_<OCCID>_{YYYY.MM}.csv.gz

4. Advanced notification of upcoming changes as well as a migration timeline will be provided to members as enhancements and changes are made to these reports. Once the new version is available, members can expect to receive both current and new versions onto the SFTP. All new versions will be named accordingly with a version number which will then allow the recipient to migrate to the new file format when ready. After the migration timeframe has expired, customers will see only the latest version in their folders with the standard naming convention.

Contact Us

IEX Options Market Operations can be contacted by emailing optionsmktops@iextrading.com.

REPORT FORMAT

No	Field Name	Field Descriptions	Format	Valid Values
1	EventType	Record ID	String	T = Trade B = Bust For Trade Date, customers will receive only Trade records with final state of the trade. If a previous trade is busted on a subsequent trade day, customers will see a Bust record for the entire trade amount and can match to the prior day trade by using a combination of Original Trade Date and Exec ID. If a previous trade is corrected on a subsequent trade day, Customers will receive a new Trade event record with updated trade details. Customers can match to prior day trade by using Original Trade Date and Exec ID. For T + N (correction and bust) execution submitted to OCC as original trade, so sides are flipped. Execution Report Output will be same as OCC report.
2	EventTimestamp	Trade Timestamp	YYYYMMDD HHMMSS.sssssssss	
3	RefExecTimestamp	Time of trade execution by the Matching Engine.	YYYYMMDD HHMMSS.sssssssss	
4	OriginalTradeDate	Original trade date for an execution. This field provides the original trade date and is relevant for allocations and corrections done after the trade date.	YYYYMMDD	
5	Exchange	MIC code	String	IEXO = IEX Options
6	FirmCRD	Represents the Firm for which information is being reported	Integer	Will be the CRD # of the Clearing Firm when sent to Clearing Firms. Will be the CRD # of the Entering Firm when sent to Entering Firms.
7	RootSymbol	OSI Root Symbol	String	
8	ClOrdID	Client Order ID assigned by the firm	Integer	
9	OrigClOrdID	Order ID first assigned by the firm to the original order when initially sent	Integer	
10	OrderID	Exchange-assigned Order ID	Integer	
11	ExpirationDate	Series Expiration Date. Combination of MaturityMonthYear (200) and	YYMMDD	

		MaturityDay (205) as seen on FIX messages.		
12	PutOrCall	Indicates if contract is a put or call.	String	0 = Put 1 = Call
13	StrikePrice	Option strike price. Matches StrikePrice (200) in FIX.	Decimal, 2 decimal places	
14	Side	Side provided on order	String	1 = Buy 2 = Sell
15	OrdType	Order Type provided on order	String	1 = Market 2 = Limit
16	ExecID	Unique execution ID assigned by matching engine	Integer	
17	TradeID	Unique identifier of the transaction, assigned by the Exchange to both Execution reports representing the two sides of a single trade.	Integer	
18	SenderSubID	MMID / OCC sub-account number	String	
19	MPID	MPID on order resulting in execution	String	
20	MarketMakerQuote	Denotes if order was sent as a Market Maker Quote and whether it was marked as Options Risk Parameter - eligible	String	0 = Standard 1 = Options Risk Parameter – Reprice 2 = Options Risk Parameter – Cancel 3 = Not a Market Maker Quote
21	OrdQty	Number of contracts ordered, as specified on the order.	Integer	
22	ExecQty	Execution quantity for this execution.	Integer	
23	Price	Execution price of the trade	Decimal, 2 decimal places	
24	ExecInst	Execution instruction provided on order	String	1 = ISO 2 = IEX Only (Do Not Route)
25	DisplayInst	Display instructions provided on order	String	P = Post Only
26	OpenClose	Indicates status of position in the Option	String	O = Open C = Close N = Not Applicable
27	MPVGroup	Identifies whether the series in the underlying symbol trades in penny, penny/nickel, or nickel/dime	String	0 = Penny 1 = Penny/Nickel

				5 = Nickel/Dime
28	CustomerOrFirm	Capacity of the order	String	0 = Customer 1 = Firm 2 = Broker/Dealer 3 = Market Maker 4 = Away Market Maker 5 = Prof customer
29	ClearingNumber	OCC Clearing Number / OCCID	String	
30	TargetPartyID	MPID of Options Market Maker to whom order was directed	String	If matches ContraMPID, indicates that firm to which order was directed was counterparty of the execution.
31	ClearingFirmCMTA	Clearing Number of CMTA	Integer	
32	OptionalData	Clearing optional data provided on the order	String	
33	TradeLiquidityIndicator	This value represents the conditions under which an order was executed and whether it added or removed liquidity from the Exchange order book.	String	1 = Added Liquidity 2 = Removed Liquidity 3 = Routed 4 = Opening Auction 5 = Re-Opening Auction 6 = SUM – Initiating 7 = SUM – Response 8 = SUM – Unrelated
34	FeeCode	FeeCode as defined in IEX Options Fee Schedule	String	
35	AuctionType	Indicates if trade was done as part of an auction.	String	1 = Non-Auction 2 = Opening Process 4 = Re-opening Process
36	Account	Optional customer data	String	
37	AttributedQuote	SUM instructions on the order	String	1 = SUM – Expose Order Info Only 2 = Expose order info and Capacity only 3 = Expose order info and MPID only 4 = Expose order info, Capacity, and MPID 5 = Do not use SUM
38	TimeInForce	Order TIF	String	0 = Day

				1 = IOC
39	ContraMPID	Contra firm MPID	String	
40	ContraOCCID	Contra firm OCC Clearing Number	String	
41	ContraClearingAccount	Contra party OCC sub-account number / MMID	String	
42	ContraClearingFirm	For local trades, contra party clearing number of CMTA	String	5 Digits
43	ContraOpenClose	Contra status of position in the Option	String	O = Open C = Close N = Not Applicable
44	ContraCustomerOrFirm	Contra capacity of the order	String	0 = Customer 1 = Firm 2 = Broker/Dealer 3 =Market Maker 4 = Away Market Maker 5 = Prof customer

APPENDIX

REVISION HISTORY

Version	Date	Change
1.00	8/20/2026	Initial publication of document.
1.01	9/3/2026	Update to naming conventions of files to additionally specify CRD of Order Entry Firm or Clearing Firm.