Security Allocation Information Engine (SALLIE) Factsheet:

The Security Allocation Information Engine (SALLIE) is designed to assist broker dealers in complying with the Customer Protection Rule SEC rule 15c3-3 by providing the user with more control over the security allocation matrix used in the reserve formula.

SALLIE XML is an enhancement to SALLIE that creates the files listed below.

These files meet the criteria for the SEC 15c3-3 Reserve Requirement in the AEP XML format:

- Allocation Summary
- Allocation Category totals (ASCM)Â
- Allocation Categories (ACAT)
- Allocation Hierarchy (Allocation Pair Off) (APOH)
- Allocation Pair Off Summary (APOS)
- Chart of Accounts (Firm COA)
- Security Allocation Details (SADT)
- Full Stock Record (SR)

**AEP XML Format last updated September 2017 at the request of FINRA.