



Alternative Trading System (ATS) Transparency

Data Website User Guide

June 27, 2014

Version 2.1

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Data Disclaimer

The screenshots herein include artificial data for demonstration purposes only. Nothing about the actual performance or presentation of the Website should be inferred from the screenshots. FINRA reserves the right to change the screens at any time, without notice.

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Overview

As announced in Regulatory Notice [14-07](#), on January 17, 2014, the SEC approved a proposed rule change to (i) adopt FINRA Rule 4552 to require each ATS to report to FINRA weekly equity volume information and number of securities transactions within the ATS (ATS reporting requirement); and (ii) amend FINRA Rules 6160, 6170, 6480 and 6720 to require each ATS to acquire and use a single, unique MPID when reporting information to FINRA (MPID requirement). As part of these new requirements, FINRA will make the reported volume and trade count information for equity securities publicly available on its website as described below.

FINRA will publish on its website the reported information in each equity security for each ATS for each week. Initially, FINRA will publish the aggregate reported information regarding NMS stocks in Tier 1 of the NMS Plan to Address Extraordinary Market Volatility on a two-week delayed basis. FINRA will publish the information on all other NMS stocks and OTC Equity Securities subject to FINRA trade reporting requirements on a four-week delayed basis.

Note: ATSS are not required to submit files for Fixed Income securities, pursuant to FINRA rule filing [SR-FINRA-2014-017](#).

Information regarding specific questions about ATS Transparency reporting and publication can be found in the ATS Transparency section of the FINRA Website available at: <http://www.finra.org/ATS>.

FINRA ATS Transparency Data Website

Equity ATSS are required to submit weekly volume and transaction numbers, and FINRA will publish the weekly data on the new ATS Transparency Data Website that is viewable by public and professional users alike.

Upon accessing the website the user will be able to view and filter the weekly published data.

This includes:

- Issue Data
- ATS Data
- Statistics
- Filters
 1. Issue
 2. Report Date
 3. Report Type

In addition to the above, a Professional user may also do the following:

- Sign in
- Register
- Purchase Subscription(s)
- Download Weekly Reports
- View Licenses

Contacts

FINRA Contact Information:

General Product Inquiries; product functionality	FINRA Operations 866.776.0800 finraoperations@finra.org
Legal Issues	FINRA Office of General Counsel 202.728.8071
Product implementation and enhancement information	FINRA Product Management 866.899.2107 FINRAProductManagement@finra.org

Web Application Overview

The ATS Transparency Data Website is designed for ease of use. The sections that follow in the User Guide describe in detail how to use all functionality available on the website and how to interpret the data that is returned.

Home Page – <https://ats.finra.org/>



Figure 1
Home Page and Masthead

Masthead Links

These links are located in the top right corner of the Home Page and are accessible throughout all screens. The user can access them at any time when viewing the website. Users wishing to return to the Home Page can do so by clicking on the FINRA logo at the top of the Masthead.

FINRA Home

Navigates the user to a new tab at www.FINRA.org. FINRA.org is the main FINRA website which provides the user with links to such topics as education, compliance and transparency.

About FINRA

Navigates the user to a new tab at www.FINRA.org/AboutFINRA. This page provides the user with information about the FINRA organization and includes links to such topics as Annual Reports, Operating and Holiday Schedule, Locations, and Contacts.

Newsroom

Navigates the user to a new tab at www.FINRA.org/Newsroom. This page provides the user with links to such topics as News Releases, Speeches and Testimony, Statistics and Data, and Investor Alerts.

Sign In

Navigates the user to the EWS login page at [EWS Login](#). This page provides the user with access to the Registration and Download features of the site associated with subscription data.

User Certification

The user must certify as a Non-professional user and in the affirmative upon each visit to the webpage or register as a first time user and sign in upon each visit as a Professional User to access the weekly reported ATS trade data.

The screenshot shows the top navigation bar with "ATS Transparency Data" on the left and "Sign in" on the right. Below the navigation bar, there are two main sections: "Non-professional User Agreement" and "Professional User".

Non-professional User Agreement

The following information is intended for viewing by non-professionals ONLY, as defined in FINRA Rule 4553. Professionals wishing to view or download the data must purchase a subscription to access the data. All the information on this website is published in good faith and for general information purpose only and subject to change without notice. FINRA does not make any warranties about the completeness, reliability or accuracy of this information. The information is based on data submitted to FINRA and not on reports produced or validated by FINRA. FINRA is not responsible for any errors or omissions. While the information contained within the site is periodically updated, no guarantee is given that the information provided is correct, complete, or up-to-date. Any action you take upon the information contained on this website is strictly at your own risk and FINRA will not be liable for any losses or damages in connection with the use of this website or data.

At the bottom of this section are two buttons: "I Agree" and "I Disagree".

Professional User

If you already have an account, please sign in.
First time users must register and purchase a subscription.

At the bottom of this section are two buttons: "Sign in" and "Register".

At the bottom of the page, there are links for "Sitemap", "Privacy", and "Legal", and a copyright notice: "©2014 FINRA. All rights reserved. FINRA is a registered trademark of the Financial Industry Regulatory Authority, Inc."

The Non-professional User must read the Non-professional User Agreement and certify using the “I Agree” or “I Disagree” button. Further details are provided directly below regarding these buttons.

The Professional User with an existing user ID must sign in using either the Sign in link in the Masthead as discussed in the prior section or clicking on the “Sign in” button. Refer to the Existing User Sign in section for more information.

A Professional User that does not already have a user ID or does not have an Super Account Administrator (SAA) must register for the service using the “Register” button. Refer to the Entitlement and Registration Process section and the New User Registration section for more information.

Clicking “I Disagree” as a Non-professional will result in the following message:

You must agree to the terms to access the ATS Transparency Data.

The screenshot shows two buttons: "I Agree" and "I Disagree". The "I Disagree" button is highlighted with a dashed border, indicating it is the focus of the message.

After clicking “I Disagree” as a Non-professional and receiving the message above, you may either close the window to leave the application, or else click “I Agree” to continue. Clicking “I Agree” will result in accessing the “Issue Data” page of the ATS Transparency Data Website.

NOTE: Non-professional Users should refer to the Non-professional User section for more information.

Existing User Sign In

An existing user with a current login and/or subscription must login in order to access the weekly reported ATS trade data. A new user can register if they do not have an account and would like to purchase a subscription.



Welcome to the Alternative Trading Systems (ATS) User Account Management

New The Login process has changed. [Learn More](#)

User ID

[Forgot User ID or Password?](#) [Register New User](#)

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By clicking the button below, I certify that I have read and understand all of the terms of the [FINRA Entitlement Program Agreement and Terms of Use](#) and intend to form a binding agreement with FINRA on those terms without modification or amendment thereto. If I am accepting this agreement on behalf of an organization, I certify that I have the authority of that organization to enter into this agreement.

If you are experiencing any difficulties logging into the system, please contact your Administrator for assistance. If you are a Super Account Administrator, contact the Gateway Call Center at 301-869-6699 for Assistance.

Do NOT bookmark this page or add it to your favorites. If you would like to create a bookmark or add this application to your favorites, please create the bookmark or add it to your favorites after successfully logging in.

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User ID: Enter your existing User ID and click “I Agree” to get to the Password page. If you have forgotten your User ID, click on the “Forgot User ID or Password?” link.

If the user does not have a User ID and Password, the user can register by clicking on the “Register New User” link. Refer to the New User Registration section for more information.

Clicking “I Disagree” will result in the following message:



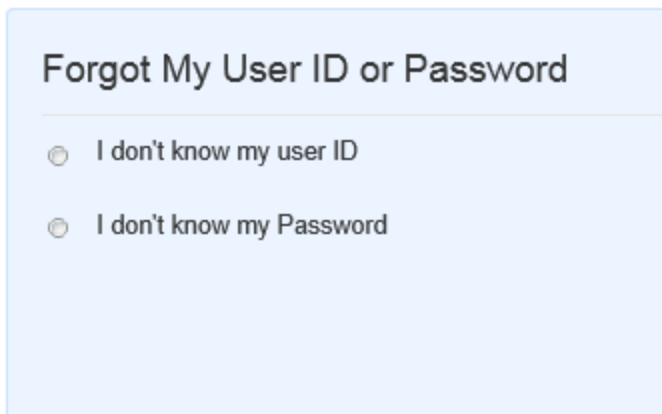
After clicking “I Disagree” and receiving the message above, you may either close the window to leave the application, or else click “I Agree” to continue. Clicking “I Agree” will result in accessing Page 1 the first “Issue Data” page of the ATS Transparency Data Website.

Password

A screenshot of the "Welcome to the Alternative Trading Systems (ATS) User Account Management" page. It shows the "User ID" field with the text "twebpage" and the "Password" field with a lock icon and a masked password of ten dots. There is a "Forgot User ID or Password?" link to the right of the password field. Below the password field is a blue "Continue" button. At the bottom, there is a checkbox labeled "Update Security Information".

Password: Enter your existing password and click “Continue”. If you have forgotten your Password, click on the “Forgot User ID or Password?” link.

Forgotten User ID or Password



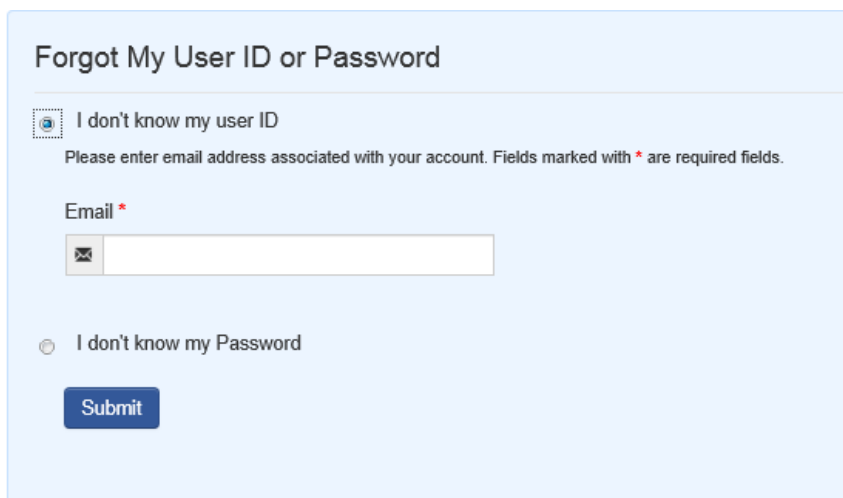
Forgot My User ID or Password

I don't know my user ID

I don't know my Password

The user must select either “I don’t know my user ID” or “I don’t know my Password”. If the user doesn’t know either, the processes are separate.

Selecting “I don’t know my user ID”



Forgot My User ID or Password

I don't know my user ID

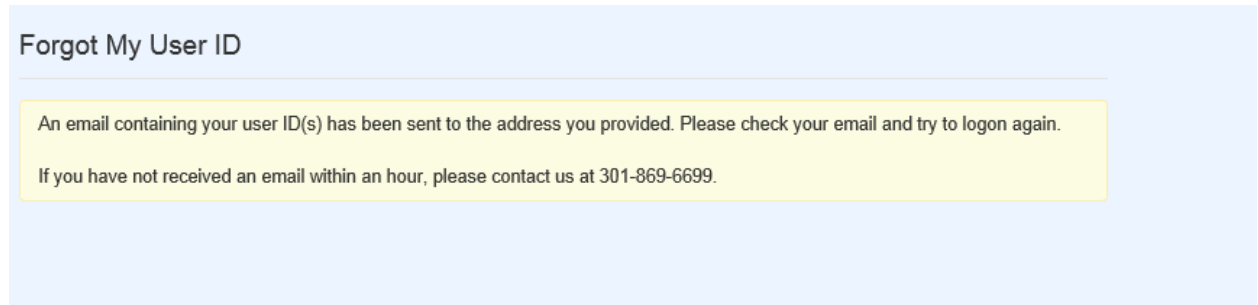
Please enter email address associated with your account. Fields marked with * are required fields.

Email *

I don't know my Password

Email: The user must submit the email address on record for the User ID being requested.

Once the user clicks “Submit”, the following is returned:



Selecting “I don’t know my Password”

The screenshot shows a light blue rectangular box with a white border. At the top left, the text "Forgot My User ID or Password" is displayed in a dark grey font. Below this, there are two radio button options: "I don't know my user ID" (unselected) and "I don't know my Password" (selected). Below the options, a small text line reads: "Please enter your User ID and Primary Email. Fields marked with * are required fields." There are two input fields: "User ID *" with a person icon and "Primary Email *" with an envelope icon. At the bottom left, there is a blue "Submit" button.

User ID: The user must submit the User ID for which the Password is needed.

Primary Email: The user must submit the email address on record for the User ID being requested.

Once the user clicks “Submit”, one of the following security questions created for the User ID will be returned:

Please enter the response to the Security question. Fields marked with * are required fields.

IMPORTANT: Please click the "Submit" button ONLY ONCE.

In what city is your vacation home? (Enter full name of city only)*

The user must correctly answer the security question associated with the User ID in order to receive a new Password.

Once the user clicks “Submit”, the following is returned:

Forgot My Password

A new password will be emailed to you shortly. You will be required to change this password when you log into the system.

Please note, if you have attempted to login using an incorrect password five or more times or your account has been disabled , you will need to contact your account administrator in order to access the system.

New User Registration

A party that does not already have an existing User ID and Password must register to gain access to the subscription data. The user must click the Sign in link in the Masthead which will return the following screen.



Welcome to the Alternative Trading Systems (ATS) User Account Management

New The Login process has changed. [Learn More](#)

User ID
 [Forgot User ID or Password?](#) [Register New User](#)

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To enable you to be employed in certain positions or participate in certain matters or opportunities in the securities industry in the United States, FINRA collects certain personal data from you for identity verification and regulatory purposes. Personal information may include your name, address, phone number, fingerprints, employment history and any other information that identifies or can be used to identify the person to whom such information pertains. FINRA may use your personal information submitted via this Web site for any regulatory purpose.

This Web site is operated in the United States. If you are located outside of the United States, please be aware that any information you provide to us will be transferred to the U.S. and subject to U.S. laws. By using our Web site, participating in any of our services and/or providing us with your information, you consent to this transfer of data. Additionally, by using our Web site, participating in any of our services and/or providing us with your information you also consent to the collection, transfer, manipulation, storage, disclosure and other uses of your information as described in this Privacy Statement and the FINRA Privacy Policy. If you do not consent to this Privacy Statement or our FINRA Privacy Policy, please do not use this Web site.

By clicking the button below, I certify that I have read and understand all of the terms of the [FINRA Entitlement Program Agreement](#) and [Terms of Use](#) and intend to form a binding agreement with FINRA on those terms without modification or amendment thereto. If I am accepting this agreement on behalf of an organization, I certify that I have the authority of that organization to enter into this agreement.

If you are experiencing any difficulties logging into the system, please contact your Administrator for assistance. If you are a Super Account Administrator, contact the Gateway Call Center at 301-869-6699 for Assistance.

Do NOT bookmark this page or add it to your favorites. If you would like to create a bookmark or add this application to your favorites, please create the bookmark or add it to your favorites after successfully logging in.

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To create a login account the user must click the "Register New User" link and complete the registration process as outlined below.

Register as a FINRA User

Please complete the following information, and then select "Submit" to register.

Note: (*) indicates required fields.

User Profile

Prefix

(none) ▼

First Name (*)

Middle Name

Last Name (*)

Suffix

(none) ▼

Title

(unknown) ▼

Choose Your User ID (*)

[Generate a new User ID from First and Last Name](#)

Primary Email (*)

Secondary Email

Primary Phone

Secondary Phone

FAX

To prevent unauthorized access to this application, please enter the characters in the exact order as they appear in the box below.



Submit

Prefix: Optional prefix to the registrant's name

First Name: First name of the registrant

Middle Name: Middle name of the registrant

Last Name: Last name of the registrant

Suffix: Optional suffix to the registrant's name

Title: Optional position held by the registrant

Choose Your User ID: ID the registrant will use for login purposes. User may define an ID up to 20 characters or select the "Generate a new User ID from First and Last Name" link to have a system generated ID.

Primary Email: Email address to be used as the registrant's primary address

Secondary Email: Email address to be used as the registrant's alternate address

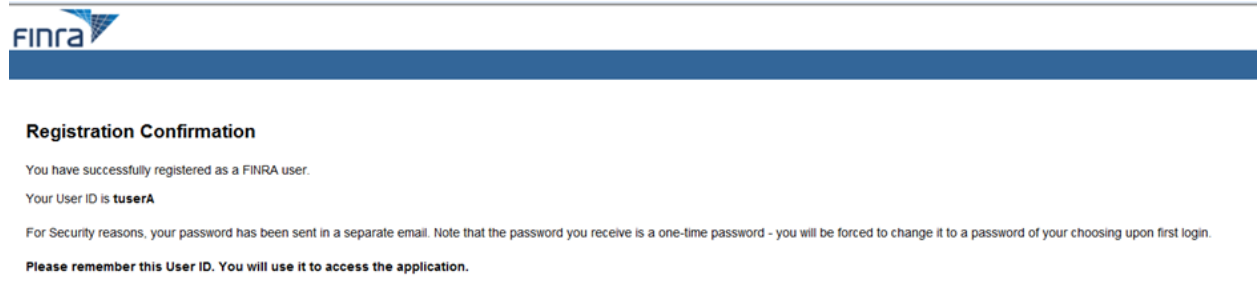
Primary Phone: Phone number to be used as the registrant's primary

Secondary Phone: Phone number to be used as the registrant's alternate

FAX: FAX number to be used as the registrant's primary

Access code: Unique code generated by the system as displayed in the box

Clicking Submit returns:



An email is generated containing the single use Password for the new User ID.

Create Password

The user will enter the single use Password sent via email and create a new password for the User ID:

The screenshot shows the "Password Reset" form with the FINRA logo. A yellow banner at the top states "Fields marked with * are required fields." The form contains four input fields: "User ID *", "Current Password *", "New Password *", and "Confirm New Password *". A "Continue" button is located below the "Confirm New Password" field. To the right of the form, there are two instruction boxes. The first box, titled "Follow these instructions to reset password.", lists: "Enter your user ID.", "Enter your current password for security.", "Enter the new password you would like to use.", "Enter the new password again to confirm.", "Click continue.", and "After you complete the Password Reset process you will be asked to login again." The second box, titled "Passwords must meet the following criteria:", lists: "Must contain at least eight characters", "Cannot contain your user ID", "Cannot contain your first, middle, or last name", "Cannot contain the character ' ', '&', '%', or ' ' (asterisk, ampersand, percent, or space)", and "Must contain characters from at least three of the following four categories:", which includes "Uppercase characters (A-Z)", "Lowercase characters (a-z)", "Numeric characters (0-9)", and "Special characters (!, \$, #, etc.)".

User ID: ID the user created during the registration process above.

Current Password: Single use Password provided via email in response to the user registration submission.

New Password: Password created by the user for login purposes. Password requirements are defined in the box on the right.

Confirm New Password: Reentry of the new Password.

Once the information is updated, the user must click "Continue". If the new Password submitted conforms to the password requirements in the above on the right, the following confirmation will be returned. Otherwise, the user must update the information and resubmit.



Password Reset: Completed

Your password has been reset. Press "Continue" to log in.

Continue

Once the user has established a Password that meets the password criteria the user is taken to the Password page to enter the new password.



Welcome to the Alternative Trading Systems (ATS) User Account Management

User ID: tusera

Password

[Forgot User ID or Password?](#)

Continue

Password: Enter new Password created during the reset process above

When the user clicks "Continue" a security information page will display.

Establish Security Information:



Setup of Security Information:

User ID: tusera

Please select security questions and provide answers. Choose answers that are easy to remember. Use one word answers when possible. We may ask you to answer these questions as part of a security check when you call us or when you login from an unregistered device. Fields marked with * are required fields.

Question 1:
What is the name of the first company you worked for?

Answer: *

Question 2:
In what city is your vacation home? (Enter full name of city)

Answer: *

Question 3:
What is your mother's middle name?


Answer: *

The user must select a question and provide an answer for each of the three question dropdowns.

Once the user clicks “Save”, the user is taken to the ATS Registration page to complete the registration and payment process for the subscription data.

ATS Registration: Individual or Data Vendor

The following ATS registration process must be completed for a new Individual or Data Vendor user.



ATS Transparency Data

ATS Registration

To register as an ATS Data Consumer and purchase a subscription to download ATS trade data, please complete the form below including all required fields. All subscriptions purchased will be valid for one year.

Subscriber Information *required fields

First Name* Last Name*

Company Name

Registration Email*
Please enter an email address where you want your registration information sent

Confirm Registration Email*

Please enter the location information for where the ATS data will primarily be used

Country*

Address*

City* State Postal Code

Individual Subscription
 Data Vendor Subscription

I acknowledge that I have read and signed the FINRA ATS Data Subscriber Agreement (FSA) prior to purchasing this subscription to access the downloadable ATS Transparency Data.

Subtotal	\$12,000.00	Credit card transactions are limited to \$50,000. ACH transactions are limited to \$1,000,000.
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By clicking "Continue to Payment", you will leave the ATS site and be taken to FINRA's secure payment system.

First Name: First name of the registrant associated with the subscription.
Last Name: Last name of the registrant associated with the subscription.
Company Name: Name of the registrant's company associated with the subscription.
Registration Email: Email address to be used as the registrant's primary email address.
Confirm Registration Email: Reentry of registrant's primary email address.
Country: Registrant's country associated with the subscription.
Address: Registrant's address associated with the subscription.
City: Registrant's city associated with the subscription.
State: Registrant's state associated with the subscription.
Postal Code: Registrant's zip code associated with the subscription.

Select type of Subscription:

Individual Subscription: Subscriber will not redistribute data.
Data Vendor Subscription: Subscriber is a redistributor of data.

Acknowledgement checkbox: Acknowledges execution of subscriber agreement.

Continue to Payment: Clicking the button will launch FINRA's secure payment system to complete the purchase. Refer to the Data License Payment section for more information.

Cancel: Clicking the button will return the user to the User Agreement page.

Data Vendor License Registration

Once a data vendor user has registered and paid the Data Vendor Subscription fee, the user may purchase customer license(s) for the redistribution of the data.

The following page will pre-populate with the data vendor user information. The user must confirm the registration email address and the number of licenses to be purchased before the user selects "Continue to Payment".

ATS Transparency Data

ATS Registration

To register as an ATS Data Consumer and purchase a subscription to download ATS trade data, please complete the form below including all required fields. All subscriptions purchased will be valid for one year.

Subscriber Information *required fields

First Name* Last Name*

Company Name

Registration Email*
Please enter an email address where you want your registration information sent

Confirm Registration Email*

Please enter the location information for where the ATS data will primarily be used

Country*

Address*

City* State Postal Code

Data Vendor Customer License Number of Licenses* \$12,000.00 per license.
Limit 80 per transaction.

Your current subscription will expire on **03/27/2018**

Subtotal Credit card transactions are limited to \$50,000.
ACH transactions are limited to \$1,000,000.

By clicking "Continue to Payment", you will leave the ATS site and be taken to FINRA's secure payment system.

First Name: First name of the Data Vendor associated with the license subscription
Last Name: Last name of the Data Vendor associated with the license subscription
Company Name: Name of the Data Vendor's company associated with the license subscription
Registration Email: Email address to be used as the Data Vendor's primary email address
Confirm Registration Email: Reentry of Data Vendor's primary email address
Country: Data Vendor's country associated with the license subscription
Address: Data Vendor's address associated with the license subscription
City: Data Vendor's city associated with the license subscription
State: Data Vendor's state associated with the license subscription
Postal Code: Data Vendor's zip code associated with the license subscription

Number of licenses: Number of new license subscriptions to be purchased

Subtotal: Total cost for the number of licenses entered

Continue to Payment: Clicking the button will launch FINRA's secure payment system to complete the purchase which includes the Terms and Conditions page below. Refer to the Data License Payment section for more information.

Cancel: Clicking the button will return the user to the User Certification page. Refer to the User Certification section for more information.

Terms and Conditions

Financial Industry Regulatory Authority

Terms and Conditions

In addition to the terms of the FINRA Entitlement Program Agreement and Terms of Use (the "Agreement"), by submitting payment you agree to be bound by the following additional payment terms which are hereby incorporated into the Agreement:

1. You agree that the total amount of your transaction, including fees, taxes, shipping/handling and other charges and surcharges will be charged to the credit card or bank account number you supply. The total amount that you must pay to FINRA will be disclosed to you prior to purchase.
2. Secure payment services are provided by a third party vendor through a portal on the FINRA web site. FINRA does not collect, maintain, use or disseminate any of your credit card, bank account, or other payment related information. FINRA specifically disclaims any liability to you with regards to the provision, collection, maintenance, use or dissemination of credit card, bank account, or other financial information or any other activities related to such payment services.

Clicking "I Agree" will result in access to the ATS Transparency Data License Payment page. If the user does not agree, the user must close the window to leave the application.

Data License Payment

Individual and Data Vendor License Payment

The payment page for both subscriptions is identical except for amount due as indicated in the following:


ATS Transparency Data License Payment


License Subscription type	Amount
Total	Amount Due

Depending on the subscription selected during the registration process, the Type and Amount will be different as displayed below:

Individual Subscription	\$12000
Total	\$12000
Data Vendor Subscription	\$18000
Total	\$18000

Payment Type

Credit/Debit Card 

Bank Account 

Credit/Debit Card Information

* Denotes required field

*Card Type:

*Card #:

*Card Security Code:

The Card Security Code can be found as the last three digits in the signature panel on the back of your VISA, MasterCard, Discover card, or the four digits printed on the front of your American Express card above the embossed number.

*Expiration Date: Month: Year:

Billing Information

*Full Name (as it appears on credit card):

*Street Address Line 1:

Street Address Line 2:

*City:

*State:

Province/Region:

*Zip Code:

Postal Code:

*Country:

User must complete the form and submit the payment information to complete the subscription process.

Payment Type: Credit or Debit Card or Bank Account for ACH.

Credit/Debit Card Information: All fields are required for verification and approval of payment.

Billing Information: Relates to the Payment Type selected.

Clicking “Submit Payment Information” will result in a confirmation of payment page.

Financial Industry Regulatory Authority

ATS Transparency Data - Payment Confirmation

Thank you! Your purchase has been processed. Your Order Number: 22

The payment was processed for an amount of \$12,000.00 on 04-22-2014 at 11:49:47.

You now have access to the secure ATS Transparency Data. Please click the link below to access the data download page:

[ATS Transparency Data Download](#)

If you have a Data Vendor subscription and have purchased Data Vendor Customer Licenses, the complete list of valid vendor licenses are accessible at the link below:

[Data Vendor Customer Licenses](#)

If you have any questions, please email us at ATSNotifications@finra.org or contact FINRA Gateway Call Center at (301) 590-6500.


Data Vendor Customer License Payment


The payment page for customer license subscriptions is identical to the payment process above except for amount due as indicated in the following:

ATS Transparency Data License Payment

Data Vendor Customer License \$12000
Total \$12000

Payment Type

Credit/Debit Card 

Bank Account 

Bank Account Information

* Denotes required field

*Account Type:

*ABA Routing #:

*Bank Account #:

*Bank Account Holder's Full Name:

Your Name
1234 Tree St
Sometown, USA 101
10-21250

Date:

Pay to the Order of \$

Dollars

Bank Name
1234 Bank Rd
Sometown, USA
ACH RT 123456789

For

⑆ 23467890 ⑆ ⑆ 000 23467890 ⑆ ⑆ 10 ⑆

ABA Check Routing Number
23467890

Account Number
000 23467890

Check Number
10

ACH Routing Number
123456789

User must complete the form and submit the payment information to complete the subscription process.

Payment Type: Credit or Debit Card or Bank Account for ACH.

Bank Account Information: All fields are required for verification and approval of payment. Clicking “Submit Payment Information” will result in a confirmation of payment page.

ATS Transparency Data - Payment Confirmation

Thank you! Your purchase has been processed. Your Order Number: 22

The payment was processed for an amount of \$12,000.00 on 04-22-2014 at 11:49:47.

You now have access to the secure ATS Transparency Data. Please click the link below to access the data download page:

[ATS Transparency Data Download](#)

If you have a Data Vendor subscription and have purchased Data Vendor Customer Licenses, the complete list of valid vendor licenses are accessible at the link below:

[Data Vendor Customer Licenses](#)

If you have any questions, please email us at ATSNotifications@finra.org or contact FINRA Gateway Call Center at (301) 590-6500.

Non-professional User

Issue Data tab

This page is the initial page and displays Total Shares and Total trades per security symbol for a specific weekly report for a specific report type. This page includes filter capabilities.

Issue	Symbol	Description	Total Shares	Total Trades	Last Updated	Details
Symbol or Issue Name	A	JPMorgan Chase Bank N.A. London Branch - 144A	1,225	9,860,226	03/24/2014	
Weekly Report	AA	Asia Cement Corp Ltd - 144A	1,225	63,934,719	03/24/2014	
3/23/2014	AACC SUF	AACC Issue Name	1,825	139,259	03/24/2014	
Report	AACOU	AACOU Issue Name	1,825	6,695	03/24/2014	
<input checked="" type="radio"/> NMS Tier 1	AACOW	AACOW description	1,825	154,040	03/24/2014	
<input type="radio"/> NMS Tier 2	AADR	AADR description	1,825	5,834	03/24/2014	
<input type="radio"/> OTC	AAIT	AAIT Issue Name	1,825	18,530	03/24/2014	

Display default is to the most current Weekly Report for NMS Tier 1 stocks in alphabetical order.

Each Column heading may be used to sort the entire list. Each click of a column heading toggles the sort between ascending and descending order.

The following Column headings are included on this grid:

Symbol: Assigned by the primary listing market (NMS stocks), or by FINRA (OTC symbols).

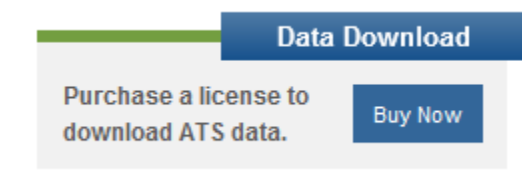
Description: Company name associated with the symbol.

Total Shares: Aggregate weekly total number of shares reported by all ATSs for the symbol.

Total Trades: Aggregate weekly total number of trades reported by all ATSs for the symbol.

Last Updated: Most recent date on which total trades and/or total shares is updated based on data received from all ATSs.

Details: Clicking the icon launches a pop-up screen with data details for the security per ATS. Refer to the Details Page section for more information.



Data Download

If the user has a subscription, the downloadable weekly report files may be accessed by clicking “Data Download”.

Buy Now: Clicking the button will launch the ATS Registration page. Refer to this section for more information.

Filters are available in the left hand navigation that allow the user to isolate data for a specific security, or view an earlier published weekly report than the most current for a report category.

Issue

Symbol or Issue Name

Weekly Report

3/23/2014 ▼

Report

NMS Tier 1

NMS Tier 2

OTC

Issue:

Search criteria uses “contains” logic and results are in alphabetical order by symbol.

Symbol: Assigned by the primary listing market (NMS stocks), or by FINRA (OTC symbols).

Issue Name: Company name associated with the symbol.

Weekly Report: Provides the user access to the four (4) most current weeks of published reports.

Report:

NMS Tier 1: Stocks included in the S&P 500, Russell 1000 and selected exchange-traded products.

NMS Tier 2: Contains all other NMS stocks.

OTC: Contains all Over-the-Counter equity securities.

Details Page

Provides full security and report details for the selected symbol on the Issue Data tab.

Total shares and total trades are broken down per reporting ATS.

Note: Data shown is sample data and does not reflect any actual volume or number or trades.

Alternative Trading Systems Data Details				
Symbol	A	Report	NMS Tier 1	
Description	Agilent Technologies	Week of	03/23/2014	
Product	CTS	Total Trades	1,072,663	
Total Shares	419,877,706			

ATS Description	Shares	Shares Last Updated Date	Trades	Trades Last Updated Date
ATS1 description	214,643,900	03/24/2014	577,000	03/24/2014
ATS2 description	196,321,004	03/24/2014	477,638	03/24/2014
ATS3 description	9,012,802	03/24/2014	18,025	03/24/2014

Symbol: Assigned by the primary listing market (NMS stocks), or by FINRA (OTC symbols).

Description: Company name associated with the symbol.

Product: SIP trade feed or over-the-counter equities identifying the full set of symbols disseminated on the specific trade feed.

Total Shares: Aggregate weekly total number of shares reported by all ATSs for the symbol.

Report: NMS Tier 1, NMS Tier 2, OTC.

Week of: Reflects first day of reporting week.

Total Trades: Aggregate weekly total number of trades reported by all ATSs for the symbol.

ATS Description: Company name of the ATS.

Shares: Total shares reported by the ATS in the security for the report week.

Shares Last Updated Date: Date on which shares were updated by the specific ATS.

Trades: Total trades reported by the ATS in the security for the report week.

Trades Last Updated Date: Date on which trades were updated by the specific ATS.

Data Download

Purchase a license to download ATS data.

Buy Now

Data Download

If the user has a subscription, the downloadable weekly report files may be accessed by clicking “Data Download”.

Buy Now: Clicking the button will launch the ATS Registration page. Refer to this section for more information.

ATS Data tab

Displays Total Shares and Total trades reported per ATS for a specific weekly report for a specific report type. This page includes filter capabilities.

Weekly Report	Name	Total Shares	Total Trades	Disseminated
3Q3/2014	ATS1 description	730,154	6,371,452,832	03/26/2014
Report	ATS2 description	1,628,404	6,372,351,082	03/26/2014
<input checked="" type="radio"/> NMS Tier 1	ATS3 description	2,699,879	6,373,488,577	03/26/2014
<input type="radio"/> NMS Tier 2	ATS4 description	6,699,409	6,341,847,361	03/26/2014
<input type="radio"/> OTC				

Each Column heading may be used to sort the entire list. Each click of a column heading toggles the sort between ascending and descending order.

The following Column headers are included on this grid:

Name: Company name of the ATS.

Total Shares: Aggregate weekly total number of shares reported by the specific ATSs for the symbol.

Total Trades: Aggregate weekly total number of trades reported by the specific ATSs for the symbol.

Disseminated: Most recent date on which total trades and/or total shares is updated based on data received from the ATSs.

A blue button labeled "Data Download" is positioned above a light gray box. Inside the box, the text "Purchase a license to download ATS data." is on the left, and a smaller blue button labeled "Buy Now" is on the right.

Data Download

If the user has a subscription, the downloadable weekly report files may be accessed by clicking “Data Download”.

Buy Now: Clicking the button will launch the ATS Registration page. Refer to this section for more information.

Filters are available in the left hand navigation that allow the user to isolate data for a specific security, view an earlier published weekly report than the most current for a report category.

The filter sidebar contains two sections. The "Weekly Report" section has a dropdown menu with "3/23/2014" selected. The "Report" section has three radio button options: "NMS Tier 1" (selected), "NMS Tier 2", and "OTC".

Weekly Report: Provides the user access to the 4 most current weeks of published reports.

Report:

NMS Tier 1: Stocks included in the S&P 500, Russell 1000 and selected exchange-traded products.

NMS Tier 2: Contains all other NMS stocks.

OTC: Contains all Over-the-Counter equity securities.

Statistics tab

Displays Aggregate Total Shares and Total Trades reported by all ATSS for the report week for all securities associated with a Product. The statistics are updated on a 4-week delay.

The screenshot shows the 'ATS Transparency Data' website interface. At the top, there are navigation tabs for 'Issue Data', 'ATS Data', and 'Statistics'. A 'Data Download' button is visible in the top right corner. Below the navigation, a disclaimer states: 'The Alternative Trading System (ATS) Transparency Data is aggregated trade data reported by ATSS pursuant to FINRA Rule 4552. The data has been aggregated on a weekly basis and can be viewed by symbol or by ATS. All Statistics here are displayed on a 4 week delayed basis.' Below this, a table titled 'Total Shares and Trades by Product (March 23, 2014)' is displayed. The table has three columns: Product, Total Shares, and Total Trades. The data rows are: CTS (123, 12,345), UTP (234, 23,423), OTCE (34,435, 234,523,423), and Totals (23,453,245,234, 234,534,623,423). At the bottom of the page, there are links for 'Sitemap', 'Privacy', and 'Legal', and a copyright notice for FINRA.

Product	Total Shares	Total Trades
CTS	123	12,345
UTP	234	23,423
OTCE	34,435	234,523,423
Totals	23,453,245,234	234,534,623,423

The following Column headers are included on this grid:

Product: SIP trade feed or over-the-counter equities identifying the full set of symbols disseminated on the specific trade feed.

Total Shares: Aggregate weekly total number of all shares reported by all ATSS for all symbols.

Total Trades: Aggregate weekly total number of all trades reported by all ATSS for all symbols.

The screenshot shows a 'Data Download' button in a blue box. Below it, a gray box contains the text 'Purchase a license to download ATS data.' and a 'Buy Now' button in a blue box.

Data Download

If the user has a subscription, the downloadable weekly report files may be accessed by clicking “Data Download”.

Buy Now: Clicking the button will launch the ATS Registration page. Refer to this section for more information.

Professional User

An existing user with login, password and a paid subscription will, after logging in, have access to two additional tabs. Those tabs include access to download the subscription data and view license information. In addition, a Data Vendor user will have the ability to purchase additional licenses.

Issue Data tab

This page is the initial page and displays Total Shares and Total trades per security symbol for a specific weekly report for a specific report type. This page includes filter capabilities.

The screenshot shows the 'ATS Transparency Data' website interface. At the top, there is a navigation bar with tabs for 'Issue Data', 'ATS Data', 'Statistics', 'Download', and 'Licenses'. The 'Issue Data' tab is selected. Below the navigation bar, there is a header section with the text: 'The Alternative Trading System (ATS) Transparency Data is aggregated trade data reported by ATSs pursuant to FINRA Rule 4552. The data has been aggregated on a weekly basis and can be viewed by symbol or by ATS. ATS reports are available for all Equities (NMS Tier 1, NMS Tier 2, and OTC Equities) and can be viewed by clicking the relevant report on the left hand side of the screen. Details of each report can be viewed by clicking the icon on the right side of each row.' To the right of this text is a 'Data Vendor Licenses' button with the text 'Need additional licenses?' and a 'Buy Now' button.

Issue	Symbol	Description	Total Shares	Total Trades	Last Updated	Details
Symbol or Issue Name	A	JPMorgan Chase Bank N A London Branch - 144A	1,225	9,800,220	03/24/2014	
Weekly Report	AA	Ara Cement Corp Ltd - 144A	1,225	83,934,719	03/24/2014	
3/23/2014	AACC SUF	AACC Issue Name	1,825	139,259	03/24/2014	
Report	AACDU	AACDU Issue Name	1,825	0,695	03/24/2014	
<input checked="" type="radio"/> NMS Tier 1	AACOW	AACOW description	1,825	154,040	03/24/2014	
<input type="radio"/> NMS Tier 2	AADR	AADR description	1,825	5,834	03/24/2014	
<input type="radio"/> OTC	AAIT	AAIT Issue Name	1,825	18,530	03/24/2014	
	AAME	AAME Issue Name	1,825	19,184	03/24/2014	
	AAH	Alliance & Leichestre Plc - American Depository Shares	1,825	1,462,797	03/24/2014	
	AAON	AAON description	1,825	269,741	03/24/2014	
	AAP	American Petro-Hunter Inc - Common Stock	1,825	3,393,145	03/24/2014	
	AAPL	AAPL Issue Name	1,225	66,661,784	03/24/2014	
	AAT	ATI Artlist Technologies Inc - Ordinary Shares 0.000	1,825	458,708	03/24/2014	

Display default is to the most current Weekly Report for NMS Tier 1 stocks in alphabetical order.

Each Column heading may be used to sort the entire list. Each click of a column heading toggles the sort between ascending and descending order.

The following Column headings are included on this grid:

Symbol: Assigned by the primary listing market (NMS stocks), or by FINRA (OTC symbols).

Description: Company name associated with the symbol.

Total Shares: Aggregate weekly total number of shares reported by all ATSs for the symbol.

Total Trades: Aggregate weekly total number of trades reported by all ATSs for the symbol.

Last Updated: Most recent date on which total trades and/or total shares is updated based on data received from all ATSs.

Detail: Clicking the icon launches a pop-up screen with data details for the security per ATS. Refer to the Details Page section for more information.

Filters are available in the left hand navigation that allow the user to isolate data for a specific security, or view an earlier published weekly report than the most current for a report category.

The image shows a vertical navigation panel with three main sections:

- Issue:** A grey header box above a text input field labeled "Symbol or Issue Name".
- Weekly Report:** A grey header box above a date selection dropdown menu. The dropdown is open, showing a list of dates: 3/23/2014 (highlighted in blue), 3/16/2014, 3/9/2014, and 3/2/2014.
- Report:** A grey header box above three radio button options: "NMS Tier 1" (selected), "NMS Tier 2", and "OTC".

Issue:

Search criteria uses “contains” logic and results are in alphabetical order by symbol.

Symbol: Assigned by the primary listing market (NMS stocks), or by FINRA (OTC symbols).

Issue Name: Company name associated with the symbol.

Weekly Report: Provides the user access to the twenty-seven (27) most current weeks of published reports.

Report:

NMS Tier 1: Stocks included in the S&P 500, Russell 1000 and selected exchange-traded products.

NMS Tier 2: Contains all other NMS stocks.

OTC: Contains all Over-the-Counter equity securities.

This page is the initial page and displays Total Shares and Total trades per security symbol for a specific weekly report for a specific report type. This page includes filter capabilities.

Details Page

Provides full security and report details for the selected symbol on the Issue Data tab.

Total shares and total trades are broken down per reporting ATS.

Note: Data shown is sample data and does not reflect any actual volume or number or trades.

Alternative Trading Systems Data Details				
Symbol	A	Report	NMS Tier 1	
Description	Agilent Technologies	Week of	03/23/2014	
Product	CTS	Total Trades	1,072,663	
Total Shares	419,977,708			

ATS Description	Shares	Shares Last Updated Date	Trades	Trades Last Updated Date
ATS1 description	214,643,900	03/24/2014	577,000	03/24/2014
ATS2 description	196,321,004	03/24/2014	477,638	03/24/2014
ATS3 description	9,012,802	03/24/2014	18,025	03/24/2014

Symbol: Assigned by the primary listing market (NMS stocks), or by FINRA (OTC symbols).

Description: Company name associated with the symbol.

Product: SIP trade feed or over-the-counter equities identifying the full set of symbols disseminated on the specific trade feed.

Total Shares: Aggregate weekly total number of shares reported by all ATSs for the symbol.

Report: NMS Tier 1, NMS Tier 2, OTC.

Week of: Reflects first day of reporting week.

Total Trades: Aggregate weekly total number of trades reported by all ATSs for the symbol.

ATS Description: Company name of the ATS.

Shares: Total shares reported by the ATS in the security for the report week.

Shares Last Updated Date: Date on which shares were updated by the specific ATS.

Trades: Total trades reported by the ATS in the security for the report week.

Trades Last Updated Date: Date on which trades were updated by the specific ATS.

ATS Data tab

Displays Total Shares and Total trades reported per ATS for a specific weekly report for a specific report type. This page includes filter capabilities.

Weekly Report	Name	Total Shares	Total Trades	Last Updated
3/23/2014	ATS1 description	730,154	6,371,452,832	03/26/2014
Report	ATS2 description	1,628,404	6,372,351,082	03/26/2014
<input checked="" type="radio"/> NMS Tier 1	ATS3 description	2,099,879	6,373,488,577	03/26/2014
<input type="radio"/> NMS Tier 2	ATS4 description	6,699,409	6,341,947,361	03/26/2014
<input type="radio"/> OTC				

Each Column heading may be used to sort the entire list. Each click of a column heading toggles the sort between ascending and descending order.

The following Column headers are included on this grid:

Name: Company name of the ATS.

Total Shares: Aggregate weekly total number of shares reported by the specific ATSs for the symbol.

Total Trades: Aggregate weekly total number of trades reported by the specific ATSs for the symbol.

Last Updated: Most recent date on which total trades and/or total shares is updated based on data received from the ATSs.

Filters are available in the left hand navigation that allow the user to isolate data for a specific security, view an earlier published weekly report than the most current for a report category.

Weekly Report

3/23/2014

3/23/2014

3/16/2014

3/9/2014

3/2/2014

Report

NMS Tier 1

NMS Tier 2

OTC

Weekly Report: Provides the user access to the twenty-seven (27) most current weeks of published reports.

Report:

NMS Tier 1: Stocks included in the S&P 500, Russell 1000 and selected exchange-traded products.

NMS Tier 2: Contains all other NMS stocks.

OTC: Contains all Over-the-Counter equity securities.

Statistics tab

Displays Aggregate Total Shares and Total Trades reported by all ATSS for the report week for all securities associated with a Product. The statistics are updated on a 4-week delay.

Product	Total Shares	Total Trades
CTS	123	12,345
UTP	234	23,423
OTCE	34,435	234,523,423
Totals	23,453,245,234	234,534,623,423

The following Column headers are included on this grid:

Product: SIP trade feed or over-the-counter equities identifying the full set of symbols disseminated on the specific trade feed.

Total Shares: Aggregate weekly total number of all shares reported by all ATSS for all symbols.

Total Trades: Aggregate weekly total number of all trades reported by all ATSS for all symbols.

Download tab

Displays a list of reports for each report week for all report types that have been published and the date on which the specific report was last updated. This page includes filter capabilities.

Year	Year	Week	Report Type	Last Updated	Download
2014	2014	01/05/2014	NMS Tier 1	03/26/2014	Download
	2014	01/12/2014	NMS Tier 1	03/26/2014	Download
	2014	01/19/2014	NMS Tier 1	03/26/2014	Download
	2014	01/26/2014	NMS Tier 1	03/26/2014	Download
	2014	02/02/2014	NMS Tier 1	03/26/2014	Download
	2014	02/09/2014	NMS Tier 1	03/26/2014	Download
	2014	02/16/2014	NMS Tier 1	03/26/2014	Download
	2014	02/23/2014	NMS Tier 1	03/26/2014	Download
	2014	03/02/2014	NMS Tier 1	03/26/2014	Download
	2014	03/09/2014	NMS Tier 1	03/26/2014	Download
	2014	03/16/2014	NMS Tier 1	03/26/2014	Download
	2014	03/23/2014	NMS Tier 1	03/26/2014	Download

Each Column heading may be used to sort the entire list. Each click of a column heading toggles the sort between ascending and descending order.

The following Column headers are included on this grid:

Year: Year of the published report date.

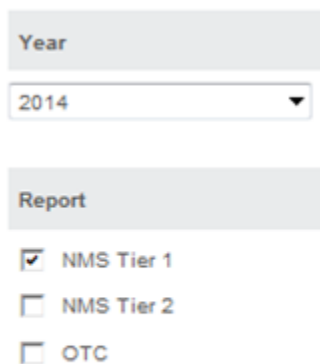
Week: Reflects first day of reporting week.

Report Type: NMS Tier 1, NMS Tier 2, OTC

Last Updated: Most recent date on which total trades and/or total shares is updated based on data received from all ATSS.

Download: Launches a separate window containing the data for the specific report in delimited format. Refer to the Download icon section below for additional information.

Filters are available in the left hand navigation that allow the user to isolate data for a specific security, view an earlier published weekly report than the most current for a report category.



The image shows a user interface for filtering data. It features two main sections: 'Year' and 'Report'. The 'Year' section has a dropdown menu currently set to '2014'. The 'Report' section has three checkboxes: 'NMS Tier 1' (checked), 'NMS Tier 2' (unchecked), and 'OTC' (unchecked).

Year: Provides the user access to all historical published weekly reports within the year selected.

Report:

NMS Tier 1: Stocks included in the S&P 500, Russell 1000 and selected exchange-traded products.

NMS Tier 2: Contains all other NMS stocks.

OTC: Contains all Over-the-Counter equity securities.

Download icon 

Clicking on the icon to download a specific report will launch a new window with delimited data.

```
Report_Type|Symbol|Issue_Description|ATS_Description|ATS_MPID|Shares|Shares_Last_Updated|Trades|Trades_Last_Updated|NMS Tier 1|A|Agilent Technologies |ATS1 description|ABCD|214643900|24-MAR-14|577000|24-MAR-14|NMS Tier 1|A|Agilent Technologies |ATS2 description|EFGH|196321004|24-MAR-14|477638|24-MAR-14|NMS Tier 1|A|Agilent Technologies |ATS1 description|ABCD|9012802|24-MAR-14|18025|24-MAR-14|NMS Tier 1|AA|Alcoa Inc|ATS5 description|WXYZ|543453|24-MAR-14|83721|24-MAR-14|
```

Licenses tab

Displays a list of license numbers and the corresponding purchase and expiration dates associated with each individual license.

License ID Number	Purchase Date	Expiration Date
910038	04/22/2014 11:49:50	04/22/2015 11:49:50
910034	04/21/2014 17:05:15	04/21/2015 17:05:15
910035	04/21/2014 17:05:15	04/21/2015 17:05:15
910036	04/21/2014 17:05:15	04/21/2015 17:05:15
910037	04/21/2014 17:05:15	04/21/2015 17:05:15
910032	04/21/2014 11:12:33	04/21/2015 11:12:33

Each Column heading may be used to sort the entire list. Each click of a column heading toggles the sort between ascending and descending order.

- The following Column headers are included on this grid:
- License ID Number:** Identifier assigned by FINRA at the time the license was purchased.
- Purchase Date:** Date the specific license was created and payment was submitted on.
- Expiration Date:** Date the specific license will expire on.



Buy Now: Clicking the button will launch the Data Vendor License Registration page. Refer to this section for more information.

Automation of Download Instructions

The ATS Transparency file download process may be automated by firms with a current subscription using the following instructions.

Requirements:

1. EWS/ATS User Account



Machine-download Instructions:

1. Go to the machine download page at:
<https://ats.finra.org/TradingDetailFileArchive/TradingDetailFilesDownloadGrid>
2. If not already logged in, you will be redirected by EWS to their login page where you will:
 - a. Input your ATS username in the “user” input field.
 - b. Input your security answer in the “ans0” input field,
 - c. And input your password in the “password” input field.
3. Once on the download page, parse through the “tblTrading” HTML table.

Note: Parsing through the ATS data tables may be a different process depending on the application or methodology used.

Helpful hints/data action icons

The ATS Transparency Data Website is designed to be user friendly in order to assist the user in reviewing the weekly published volume and transaction data. Many of the functions are intuitive. However, in order to ensure users clearly understand how to most effectively use the website, a short description of many of the common tools are described below. Specific Application functions, including field definitions and validations, workflow, and screen shots are illustrated in earlier sections of this User Guide.

Web Application Tool	Description/User Hint
Drop Down Boxes	Users click on a drop down box to have filter criteria presented and then click on the desired choice.
Radio Buttons	These flag certain conditions that may be required to return a specific report type.
Check Boxes	These flag certain conditions that may be required to return a specific report type or certification.
Text Boxes	These are free form boxes that allow users to type in Issue Symbol or Issue Name.
Combination Text/Drop Down Boxes	These tools allow a choice of either typing in an entry (i.e. Security symbol) or selecting the data item from a drop down box.
Column Headings	Users click on a column heading to change the data sort from ascending to descending.
 Icon	Users click on the icon to launch a new page containing report data for the specific report week and report type.
 Icon	Users click on the icon to launch a new page the Detail page.

Appendix A: Entitlement and Registration Process

This section is a guide to accessing the professional pages of the ATS Transparency Data website.

Member Firms

FINRA member firms have a System Account Administrator (SAA) to create and manage EWS accounts within the organization. As a member of your organization, you will have the ability to access the ATS professional data downloads with your organization's enterprise license.

I need an EWS login;

Contact your SAA. Your SAA will inform you of the process to create a new account.

I have an EWS login, but I get an 'Access Denied' error;

Contact your SAA. Your SAA will need to grant you the 'ATS Data Download' permission.

I have an EWS login and need to purchase our enterprise subscription;

- 1.) Go to <http://ats.finra.org> and click on 'Register'.
- 2.) Login with your EWS username and password.
- 3.) Select the 'Buy Now' option.
- 4.) Complete the Registration Form and submit.
- 5.) Enter your method of payment and submit.
- 6.) Your enterprise account has been created. Members of your organization with the ATS Data Download permission will now have access to the ATS professional data download.

Public Accounts

Users that do not belong to a FINRA member organization will be required to create a public EWS account. The subscription purchased with a public EWS account cannot be shared with different EWS accounts.

I need an EWS login;

- 1.) Go to <http://ats.finra.org> and click on 'Sign-in'.
- 2.) Select 'Register New User'.
- 3.) Complete the form and submit. You will receive an email with your new username and temporary password.
- 4.) Go to <http://ats.finra.org> and click on 'Sign-in'.
- 5.) Enter the username and follow the directions to change your password.

I have an EWS login and need to purchase a subscription;

- 1.) Go to <http://ats.finra.org> and click on 'Register'.
- 2.) Login with your EWS username and password.
- 3.) Select the 'Buy Now' option.
- 4.) Complete the Registration Form and submit.
- 5.) Enter your method of payment and submit.
- 6.) You have completed the purchase of your subscription. You now have access to the ATS professional data download.

Appendix B: Revision History

Version	Date	Changes
0.1	5/16/14	Initial draft
2.0	6/6/14	Updates to disclaimer language Added new Sections; Registration, Subscription, Payment and Download.
2.1	6/27/14	Added new section on Entitlement and Registration Process Updated License Payment screen shot to reflect the “ACH” selection Updated screen shot of download data sample