



# CMT TRF Customer User Manual

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## II. Overview

The Client Management Tool (CMT) is an online web tool that provides the ability to view, create, cancel, and re-submit reports sent to the FINRA/NYSE TRF. You can choose to view reports under a variety of filters and export details to Excel.

## III. Registration

CMT is a Flash (Flex) based application that runs in a web browser via HTTPS. While it is not necessary to download/install any third party software on your local machine, you will need to download the Flash Player plug-in (ver. 10), as well as a browser certificate verifying the email address used for all credentials. The latest Flash plug-in can be obtained at the Adobe Flash website <http://get.adobe.com/flashplayer>. For the certificate, we use Comodo Email Certificate Validation; you will receive an email with a link to access this certificate.

You will use your ArcaVision username and password to login to the CMT. Make sure your ArcaVision username and password are active BEFORE you attempt access to CMT by accessing the ArcaVision site at [www.arcavision.com](http://www.arcavision.com) and login with your username/password. ArcaVision accounts expire after 90 days of inactivity, and because CMT uses your ArcaVision login, you will need to make sure your account does not expire. In the event your account is expired, you will need to have your ArcaVision username and password reset. This can be accomplished at the ArcaVision website

In addition, due to the sensitive nature of the data, you will need to complete a CMT user agreement. If you do not have an active ArcaVision account or do not have the CMT agreement on file, please contact Client Relationship Services or your Relationship Manager.

## IV. Access

Once your CMT documentation is approved, you will receive an email containing your CMT credentials (email certificate validation). If you are new to ArcaVision, you will also receive a separate email with "Welcome to ArcaVision" which contains your username and instruction on creating a password. Getting access to CMT for the first time is a two step process:

1. **ArcaVision** – if you are new to ArcaVision, you will need to access the email sent with instructions on creating a password. Click on the link in the email to go to the password creation page, enter your username and passcode provided in the email, and a password of your choosing (must contain at least ONE upper case letter and ONE number).  
You may test your username password by logging in to ArcaVision at [www.arcavision.com](http://www.arcavision.com)
2. **Comodo Email Certificate Validation** – you will receive an email invitation which contains a link to download the browser certificate that validates your email address.

Email: NYSE Product - Comodo Certificate Information

Dear NYX Shelly Murphy,

Access to an NYSE support product has been requested on your behalf. In order to access the application, a Comodo Internet Security Certificate is required; you will need to download and install this certificate. NYSE products that require this certificate include:

NYSE Arca and NYSE Amex Client Management Tool (CMT)  
NYSE Client Management Tool for TRF (CMT TRF)  
NYSE Arca and NYSE Amex Global Execution Management System (GEMS)  
NYSE Global Execution Management System for Step-out Services (GEMS SOS)  
NYSE Technologies (Mexder)

To download the certificate:

\* Click on the following link to access the Certificate Manager screen [https://hard.cert-manager.com/customer/nyseclient/smime?action=invite&requestCode=202Aji7VEg6hnScSRZQ6O59ZU&email=smurphy%40nyx%2eco\\_m](https://hard.cert-manager.com/customer/nyseclient/smime?action=invite&requestCode=202Aji7VEg6hnScSRZQ6O59ZU&email=smurphy%40nyx%2eco_m). If the code is not automatically on the screen, please copy and paste your request code into the ?Code:? field

Your request code is: 202Aji7VEg6hnScSRZQ6O59ZU

\* Type in a PIN number (of your choosing) to protect your email certificate. You will be asked for this PIN number again when installing the certificate to your browser. The PIN can be alpha or numeric. Note: the PIN is also known as the password for the private key in the Internet browser certificate import screen.

\* Type in a PassPhrase. The PassPhrase is used as a hint to what PIN you have chosen.

\* When the Download screen appears, click on the Download button, and save the certificate to your local drive. Please take note of which folder you saved the certificate in for later access.

\* Import the certificate into the Internet browser you will use to access the permissioned product. Note: If you require access to this product using the same login name from multiple machines, please tick the checkbox Mark this key as exportable.

For additional instructions, please refer to the product help guide for your permissioned product.

If you require additional assistance with obtaining or installing your security certificate, please contact Client Relationship Services at [CRS@nyx.com](mailto:CRS@nyx.com).

For additional product specific support, please contact:

CMT: [CMT@nyx.com](mailto:CMT@nyx.com)

GEMS: [GEMSUserRequest@nyx.com](mailto:GEMSUserRequest@nyx.com)

GEMS SOS: [BrokerServices@nyx.com](mailto:BrokerServices@nyx.com)

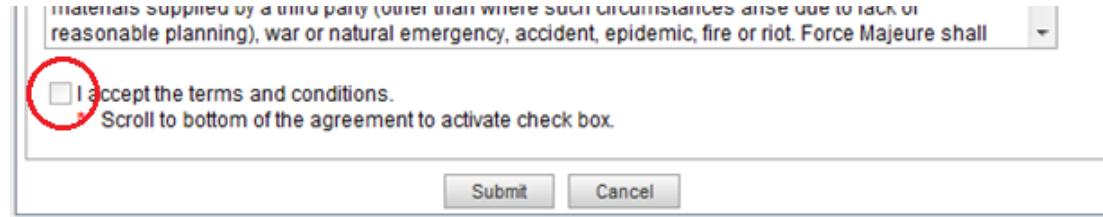
NYSET: [Service.Desk@nyx.com](mailto:Service.Desk@nyx.com)

- a. Click on the link in the email which opens your default browser and will access the Certificate Manager on the Comodo website

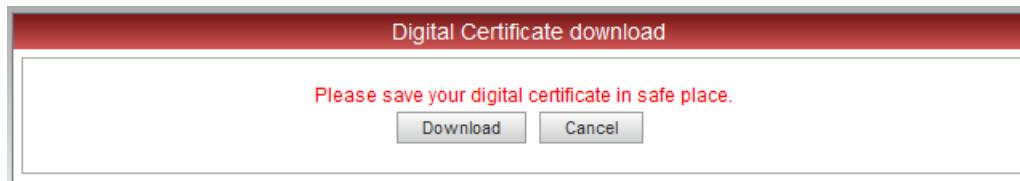
User Registration

Code: *	202AJl7VEg6hnScSRZQ6059ZU		
E-mail: *	smurphy@nyx.com		
PIN:	<input type="text"/>		
Re-type PIN:	<input type="text"/>		
Pass-phrase: *	<input type="text"/>		
Re-type pass-phrase: *	<input type="text"/>		
Select address fields to remove from the certificate.			
Address1:	20 Broad Street	Address as it will appear in certificate	<input type="checkbox"/>
Address2:		Remove	<input type="checkbox"/>
Address3:			<input type="checkbox"/>
City:	New York		<input type="checkbox"/>
State or province:	NY		<input type="checkbox"/>
Postal Code:	10005		<input type="checkbox"/>
THIS AGREEMENT CONTAINS A BINDING ARBITRATION CLAUSE. PLEASE READ THE AGREEMENT CAREFULLY BEFORE ACCEPTING THE TERMS AND CONDITIONS.			
IMPORTANT - PLEASE READ THESE TERMS AND CONDITIONS CAREFULLY BEFORE APPLYING FOR, ACCEPTING, OR USING A COMODO EMAIL CERTIFICATE. BY USING, APPLYING FOR, OR ACCEPTING A COMODO EMAIL CERTIFICATE OR BY ACCEPTING THIS AGREEMENT BY CLICKING ON 'I ACCEPT' BELOW, YOU ACKNOWLEDGE THAT YOU HAVE READ THIS LICENSE AGREEMENT, THAT YOU UNDERSTAND IT, THAT YOU ACCEPT THE TERMS AS PRESENTED, AND AGREE TO BE BOUND BY ITS TERMS. IF YOU DO NOT AGREE TO THE TERMS AND CONDITIONS OF THIS SUBSCRIBER AGREEMENT, DO NOT APPLY FOR, ACCEPT, OR USE A COMODO EMAIL CERTIFICATE AND CLICK "DECLINE" BELOW.			
1. Application of Terms			
1.1 The terms and conditions set forth below (the "Agreement") constitute a final binding agreement between you (the "Applicant" or "Subscriber") and Comodo CA Ltd. ("Comodo") with respect to the <a href="#">services described herein</a> .			

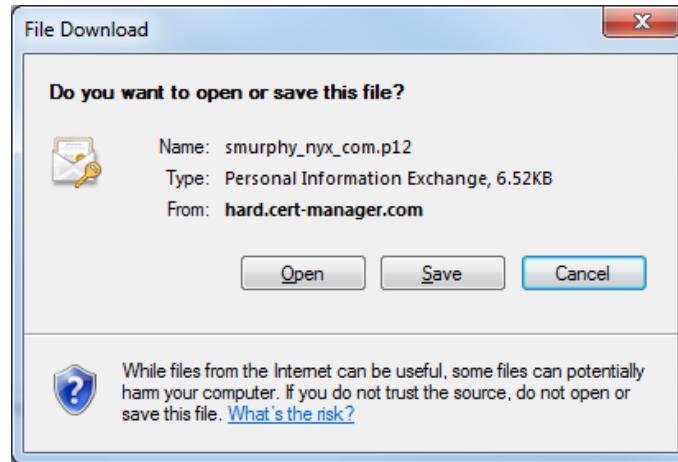
- b. You will be required to enter a PIN and Passphrase.  
Enter PIN (7 character max) and re-enter to confirm. The PIN is a secure password that you will use to install the certificate to the browser
- c. Enter passphrase and re-enter to confirm. The Passphrase is meant to be a hint to your PIN (may be used to help you remember a forgotten PIN)
- d. The address information does not need to be completed. It defaults to an Exchange related location.
- e. Please scroll to the bottom of the terms and conditions and check the "I accept the terms and conditions" tick box.



- f. Click "submit"
- g. The "Digital Certificate download screen appears; click the Download button.



- h. Save certificate to the default location specified by your computer. (or some other location deemed "safe"). Please take note of this location. Click Close once the download is complete.

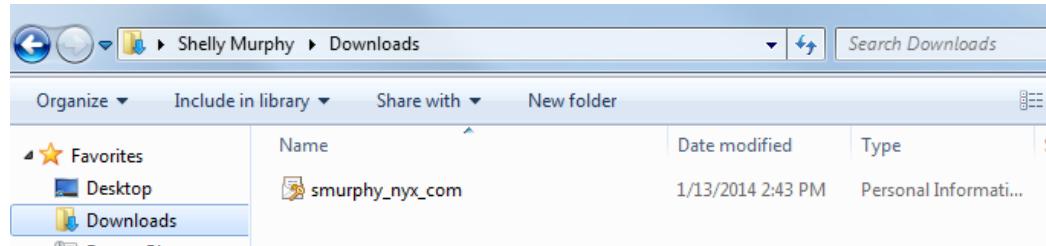


- **Install certificate into Browser**

You will need to install this certificate in the browser located on the computer you will use to access the CMT. This will allow you *and only you* to access your firm's order and execution data. You will only need to install the certificate once; after that, the browser will be certified and you can directly access the Client Management tool.

#### Internet Explorer

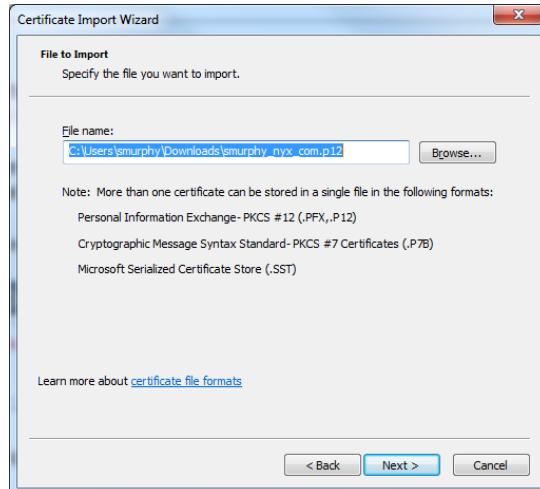
1. Locate the Digital Certificate you downloaded and double-click the filename.



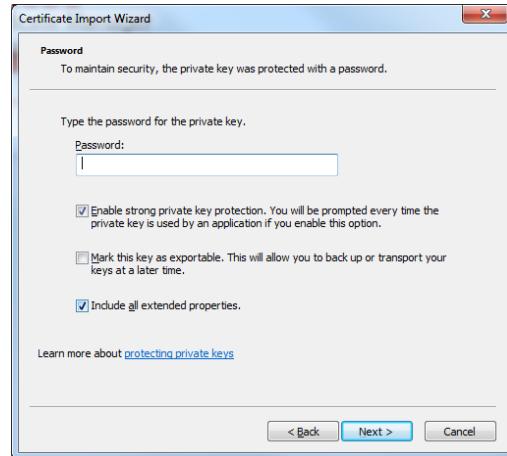
2. This will initiate the Certificate Import Wizard. Click "Next"



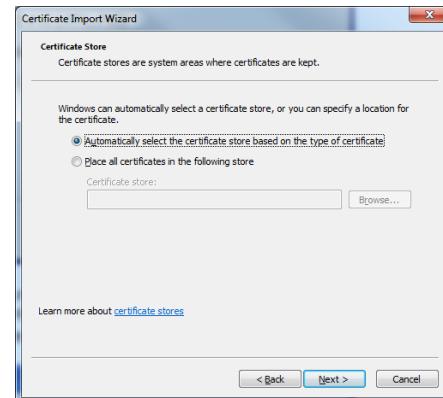
3. A pop-up screen requesting you specify the file to import will appear and will already contain the name of the certificate. Click "Next" to continue.



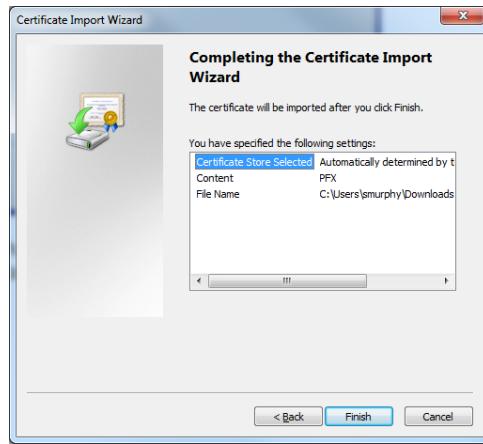
4. You will be requested to type in your password for the private key. **The password is the PIN** you defined when you initially downloaded the certificate. Leave the default tick boxes checked. If you plan to use this product at multiple workstations, click the box “Mark this key as exportable”. This will allow you to back up the key as needed. Click “Next”.



5. Allow the system to select where to store the certificate by keeping the default selection “Automatically select the certificate store based on the type of certificate”. Click “Next”.



6. On the Completing the Certificate Import Wizard screen, click “Finish”.



7. A notification regarding Importing a new private exchange key will pop-up. Click “OK”.

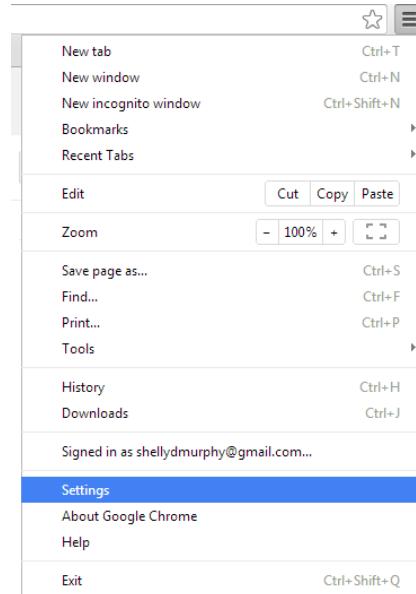


8. Click “OK”. Installation is complete!

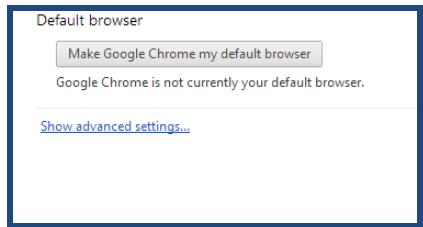


## Chrome

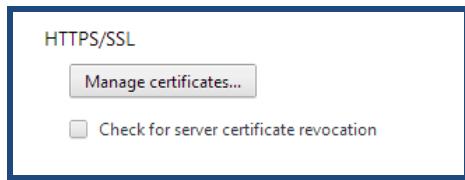
1. Launch Chrome. Click on Settings.



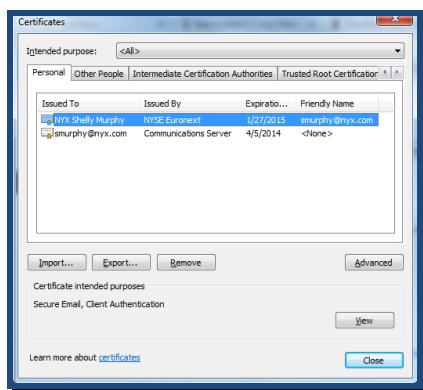
2. Click on Show Advanced Settings...



3. Scroll down through the settings and click on Manage certificates:



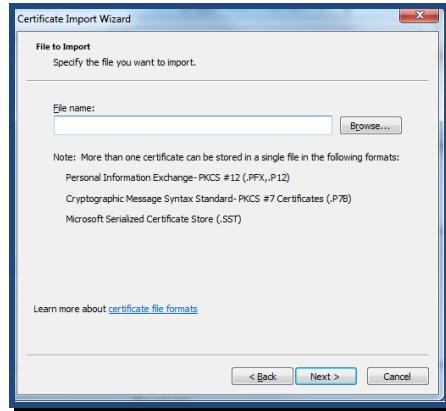
4. Chrome populates the available certificates. Click on the correct certificate for access to the NYSE related product and click the Import... button.



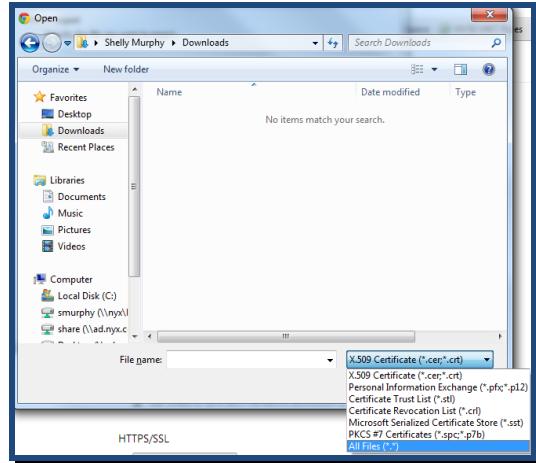
5. This action will initiate the Certificate Import Wizard. Click “Next”.



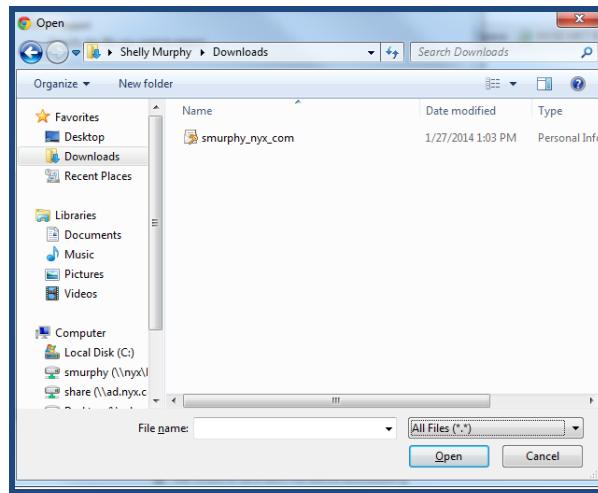
6. A pop-up screen requesting you specify the file to import. You will need to Browse to the location you saved the certificate.



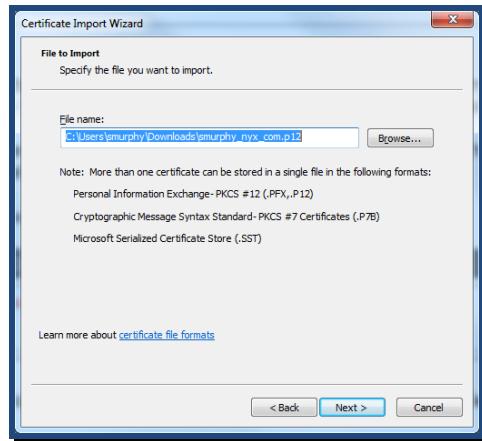
7. The file type for the Comodo type is not the default type. Click on the filename drop down menu and choose All Files (\*.\*).



8. Your Comodo certificate should appear on the screen. Choose the certificate and click Open.



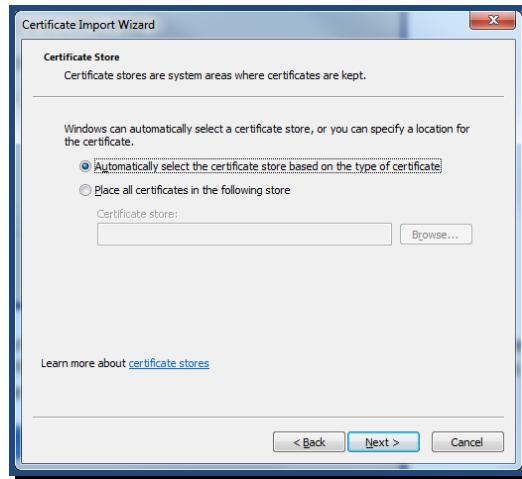
9. A pop-up screen requesting you specify the file to import will appear and will already contain the name of the certificate. Click “Next” to continue.



10. You will be requested to type in your password for the private key. The password is the PIN you defined when you initially downloaded the certificate. Leave the default tick boxes checked. If you plan to use this product at multiple workstations, click the box “Mark this key as exportable”. This will allow you to back up the key as needed. Click “Next”.



11. Allow the system to select where to store the certificate by keeping the default selection “Automatically select the certificate store based on the type of certificate”. Click “Next”.



12. On the Completing the Certificate Import Wizard screen, click “Finish”.



13. A notification regarding Importing a new private exchange key will pop-up. Click “OK”.



14. Click “OK”. Installation is complete!

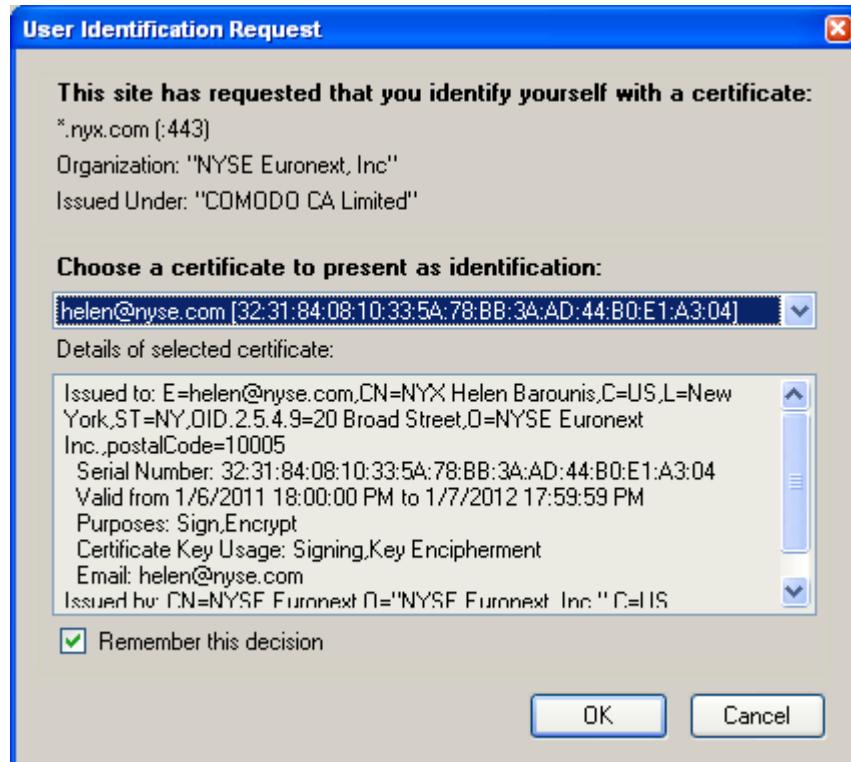


## V. Client Management Tool

To login to CMT for TRF, go to <https://cmtool.nyx.com>

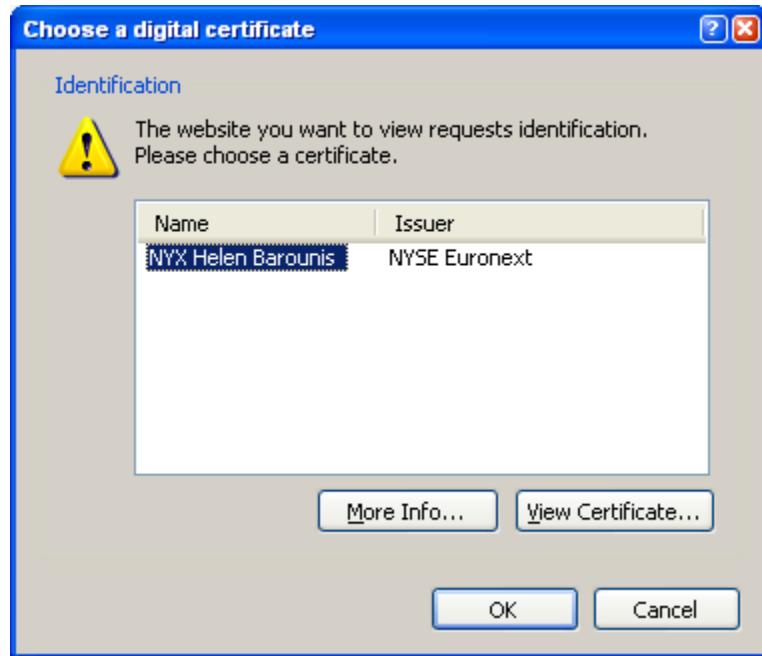
The FIRST time you log in to the site, you may encounter messages affirming your security certificate; simply click “OK” to continue on to the CMT login screen. Affirmation screens may look like the following:

Internet Explorer



OR

Firefox



If you attempt to access CMT without having downloaded or establishing your certificate, you will get an error message, either not acknowledging the website, or denying you access:



## Secure Connection Failed

An error occurred during a connection to cmtool.nyx.com.

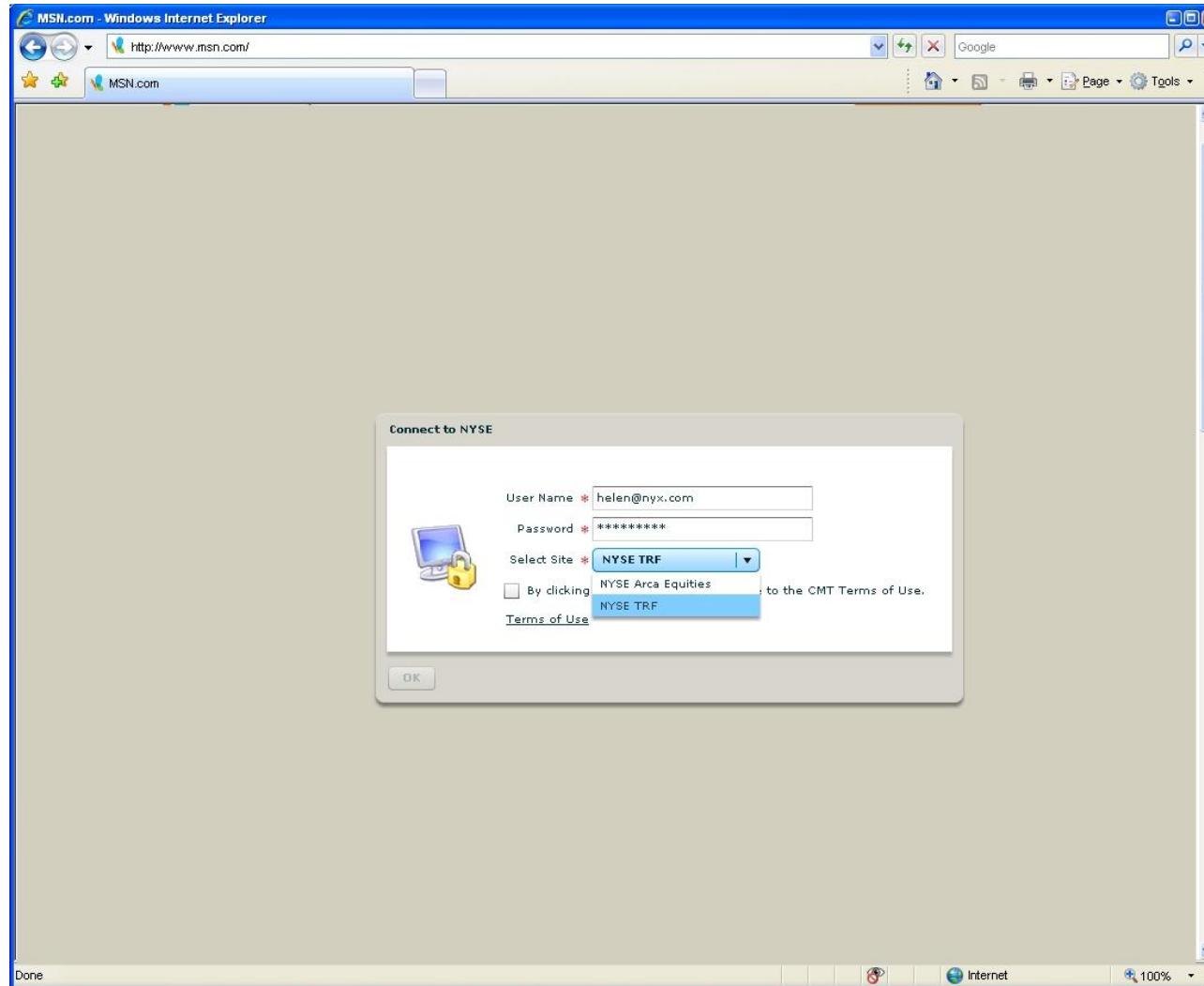
SSL peer was unable to negotiate an acceptable set of security parameters.

(Error code: ssl\_error\_handshake\_failure\_alert)

- The page you are trying to view can not be shown because the authenticity of the received data could not be verified.
- Please contact the web site owners to inform them of this problem. Alternatively, use the command found in the help menu to report this broken site.

[Try Again](#)

If the certificate is installed properly, you will get the login screen. Please login using your ArcaVision username and password.



## VI. Reports Screen

Client Management Tool - TRF

Reports (Current Day) EOD Trade Report Chr... As-Of Repairs/Rever... TRF Rejected Reports FINRA Rejected Repo... Create Report Bulk Bust Summary Dashboard Metrics

Rep Firm Clr Firm Status Branch Seq Contra Branch Seq

Symbol Price Size Side

Trade Rep Class Tape Price Override Short Sale

Exec Time 00:00:00 to 23:59:59 Report Time 00:00:00 to 23:59:59 OnBehalf Report Origin

Contra Clearing Capacity Own Capacity Contra

Trade Cat1 Trade Cat2 Trade Cat3 Trade Cat4

Fix One Bust Selected Clear Search

Select	Status	FINRA Control	Date	Reported	ExecTime	Report Class	Symbol	Side	Short	Size	Price	Tape	Error	Rep Firm	Contra	O
No records																

Page 1 Export to Excel

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Filter reports for any combination of categories.

## A. Report Fields

Rep Firm **ABCD**

Clr Firm **0627**

Status **Any**

Any  
Fill  
Bust  
Adj  
All Revisions Submitted

Your 4-Letter FINRA/NYSE TRF MPID

Your 4-Digit Clearing Number (Clearing Role only)

Status reports based on current status.

Branch Seq **OATS12345**

Contra Branch Seq

OATS id

Contra OATS id

<b>Trade Report Class</b> <input data-bbox="185 355 677 595" type="button" value="Search for special report classes."/>	<b>Tape</b> <input data-bbox="762 355 1094 595" type="button" value="Filter Publish Indicator"/>	<b>Short Sale</b> <input data-bbox="1248 355 1643 595" type="button" value="Short Sale Reasons"/>
--	---	--

<b>Exec Time</b> <input data-bbox="354 796 502 845" type="button" value="09 : 30 : 00"/> to <input data-bbox="608 796 756 845" type="button" value="15 : 59 : 59"/> <b>Report Time</b> <input data-bbox="1009 796 1157 845" type="button" value="00 : 00 : 00"/> to <input data-bbox="1262 796 1410 845" type="button" value="23 : 59 : 59"/>
---

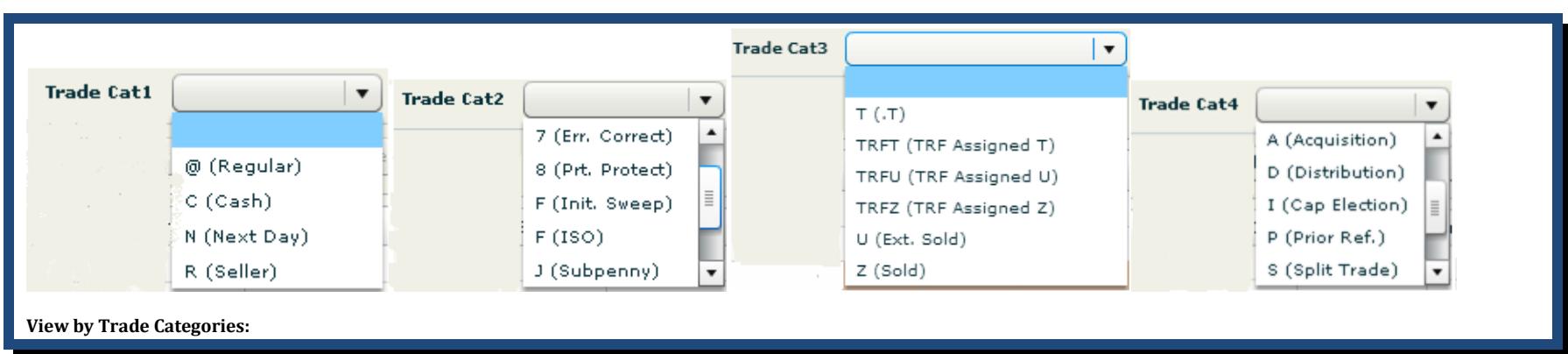
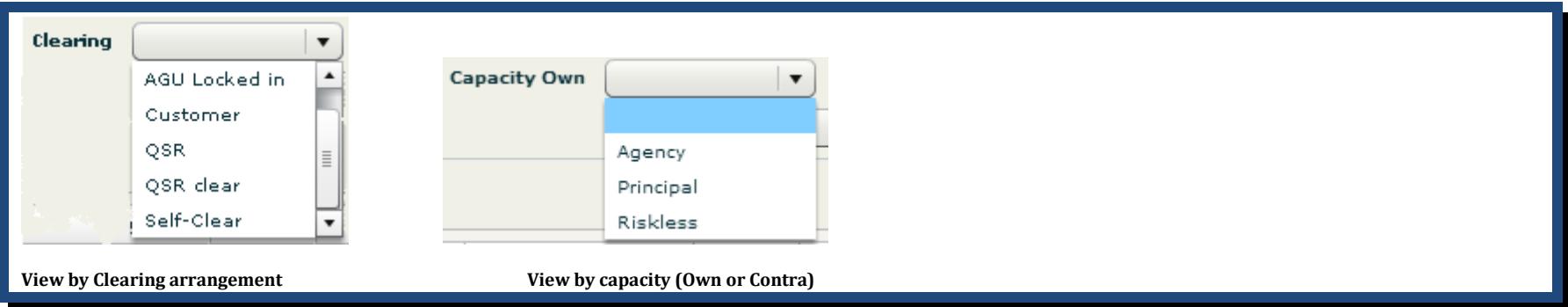
**View reports by execution time or by acknowledgment of FINRA/NYSE TRF.**

<b>Symbol</b> <input data-bbox="291 1046 481 1078" type="button" value="ABC"/>	<b>Price</b> <input data-bbox="713 1046 967 1078" type="button" value="25.35"/>	<b>Volume</b> <input data-bbox="1199 1046 1453 1078" type="button" value="95000"/>	<b>Side</b> <input data-bbox="1664 1046 1917 1078" type="button" value="Buy"/>
--	---	--	--

**Search by basic report details.**

<b>OnBehalf</b> <input data-bbox="333 1176 587 1209" type="button" value="NYSETRF-N"/>	<b>Contra</b> <input data-bbox="777 1176 1157 1209" type="button" value="DEFG"/>
--	--

**View reports by your TRF FIX connection ID** **Find reports by specific contra parties**



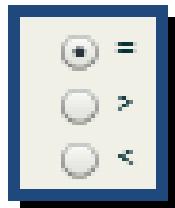
## B. Size and Price Filtering

Throughout the CMT, users can filter for size and price using exact values, ranges, or less-than/greater than functions.



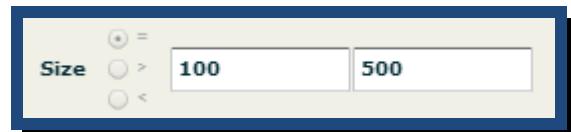
The image shows two side-by-side filtering panels. The left panel is for 'Price' and the right panel is for 'Size'. Both panels have a radio button for '=' selected. Below the radio buttons are three buttons: '>' (Greater Than), '500' (the value in the input field), and '<' (Less Than). The '500' button is highlighted with a blue border. Each panel has a 'Size' label and a 'Value' input field.

Functions: Equivalent (=); Greater Than (>); and Less Than (<)



Filtering Size by a Range:

Enter a minimum value in the left window, and a maximum value in the right window. (The function buttons will automatically gray out)



The image shows a filtering panel for 'Size'. It has a radio button for '=' selected. Below the radio button are two input fields: '100' in the left field and '500' in the right field. The function buttons ('>' and '<') are grayed out.

Filtering Price by a Range:

Enter a minimum value in the left window, and a maximum value in the right window. (The function buttons will automatically gray out)

Price > 10.25 &lt; 10.95

## C. Reports Grid

The Reports grid provides the results of your customized query, exportable into an Excel spreadsheet at the click of a button.

The screenshot displays a user interface for a 'Reports Grid'. At the top, there is a search bar for 'Price' with radio buttons for '=' (selected), '>', and '<'. The search fields show '10.25' and '10.95'. Below the search bar is a table with the following data:

Select	Status	FINRA Control	Date	Reported	ExecTime	Report Class	Symbol	Side	Short	Size	Price	Tape	Error	Rep Firm	Contra	OnBehalfOf
<input type="checkbox"/>	Fill	3000010001	02/28/13	12:07:04.704	15:59:53.000	Standard	ZZZ	Sell		100	11.7	No		ABCD	WXYZ	NYSETRF-N
<input type="checkbox"/>	Fill	3000010000	02/28/13	12:07:04.704	15:59:53.000	Standard	ZZZ	Sell		100	22.545	No		ABCD	WXYZ	NYSETRF-N

Below this is another table with the following data:

ClOrdID	Branch Seq	Contra Branch S	Clearing	Clearing#	ContraClear#	CapOwn	CapContra	Exec Firm	Trade Cat 1	Trade Cat 2	Trade Cat 3	Trade Cat 4	SettleDate
CYY92183851932644	8509138415		QSR	0501	0501	Agency	Agency		@ (Regular)				
FJA06053851932643	13869882535		QSR	0501	0501	Agency	Agency		@ (Regular)				

Finally, there is a third table with the following data:

SellerDays	NationalBid	NationalOffer	PxOverride	IsTradeThru	TT Exempt	Explicit Fee	Price Type	Related Market	Memo	Sender
0	0	N	T	N						#TRF1
0	0	N	T	N						#TRF1

At the bottom of the grid interface, there is a navigation bar with buttons for 'Page 1', 'Page 2', 'Page 3', 'Page 4', 'Page 5', and 'Page 6'. There is also a 'Export to Excel' button and a status message 'Record 1 - 2'.

Refresh the grid, page through, or export your results to an Excel spreadsheet

## D. Excel Report Output

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	
1	Status	FINRA Control	Date	Reported	ExecTime	Report Class	Symbol	Side	Short		Size	Price	Tape	Error	Rep Firm	Contra	OnBehalfOf	ClOrdID
2	Fill	3000010001	02/28/13	12:07:04.704	15:59:53.000	Standard	ZZZ	Sell		100	11.7	N		ABCD	WXYZ	NYSETRF-N	CYY92183851932644	
3	Fill	3000010000	02/28/13	12:07:04.704	15:59:53.000	Standard	ZZZ	Sell		100	22.545	N		ABCD	WXYZ	NYSETRF-N	FJA06053851932643	

1	Branch Seq	Contra Branch Seq	Clearing	Clear#	ContraClear#	CapOwn	CapContra	Exec Firm	Trade Cat 1	Trade Cat 2	Trade Cat 3	Trade Cat 4	SettleDate	Seller Days	
2	850913841S		QSR	99999	11111	Client	Client			8					
3	1386988253S		QSR	99999	11111	Client	Client			8					

1	Trade Cat 4	SettleDate	Seller Days	NationalBid	NationalOffer	PxOverride	IsTradeThru	TT Exempt	ExplicitFee	PriceType	MarketCenter	Memo	Owner Cat 2	Contra Cat 2	Sender
2				25.53	25.54	N	T	N							#TRF1
3				25.57	25.61	N	T	N							#TRF1

## VII. Create Report Screen:

Create new TRF reports or modify and resubmit TRF rejects from this screen.

The screenshot shows the 'Create Report' screen of the Client Management Tool - TRF. The screen is divided into several sections: 'Trade Info' (Report Class, Symbol, Side, Short Sale Reason, Tape, Price, Price Override, Execution Date, Execution Time (ET), Contra, Trade Type Cat 1, Trade Type Cat 3), 'Post Trade Info' (Branch Seq, Contra Branch Seq, Capacity Own, Capacity Contra, Clearing Indicator, Own Clearing #, Contra Clearing #), 'Additional Details' (Trade Type Cat 2, Trade Type Cat 4, Exec Firm, Give Up Contra, Settlement Date, Seller Days), and a footer with 'Submit', 'Cancel/Clear', and 'Hide Additional' buttons.

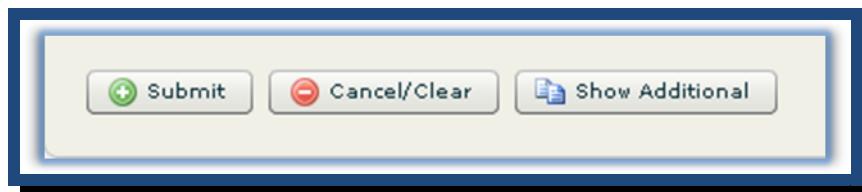
The Create Report entry screen is divided into two categories: Trade Info and Post Trade Info.

The screenshot shows the 'Create Report' interface. The 'Trade Info' section contains fields for Report Class (As-Of), Side (Buy), Short Sale Reason, Tape, Price Override, Price, Size (100), Execution Date (20110725), Execution Time (ET) (12:00:00), Rep Firm (ABCD), Contra (WXYZ), TT Exempt (Yes), InterMarket Trade (No), Trade Type Cat 1 (@ (Regular)), and Trade Type Cat 3. The 'Post Trade Info' section contains fields for Branch Seq (OATS 1234), Contra Branch Seq, Capacity Own (Agency), Capacity Contra (Agency), Clearing Indicator (QSR clear), Own Clearing # (12345), and Contra Clearing #. At the bottom are buttons for Submit, Cancel/Clear, and Show Additional.

The options for each field mirror those found on the Reports search page.

#### A. Show Additional

The most commonly used fields are available at first glance. However, more specialized reports are facilitated by clicking the "Show Additional" button at the bottom of the report entry screen:



Additional fields will appear below "Post Trade Info", with the option to re-hide, by clicking on "Hide Additional".

Additional Details

Trade Type Cat 2:  Trade Type Cat 4:  Exec Firm:  Give Up Contra:   
Settlement Date:  Seller Days:

## B. Submit

The Submit button will remain "lit-up" unless your Created report does not conform to certain reporting guidelines.

Example: Customer enters Standard report with a prior Execution Date. Result: Submit button becomes inoperable.

**Create Report**

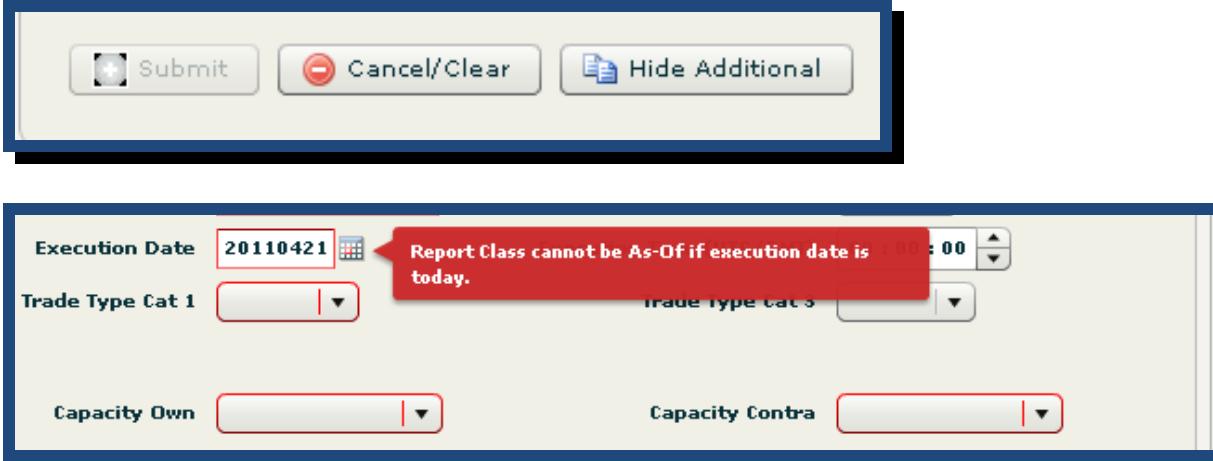
**Trade Info**

Report Class:  Side:  Short Sale Reason:  Tape:   
Symbol:  Size:  Price:  Price Override:   
Rep Firm:  Contra:  Execution Date:  Price:   
TT Exempt:  InterMarket Trade:  Trade Type Cat 1:  Price:   
Trade Type Cat 3:

**Post Trade Info**

Branch Seq:  Contra Branch Seq:  Capacity Own:  Capacity Contra:   
Clearing Indicator:  Own Clearing #:

Report Class cannot be As-Of if execution date is today.



The screenshot shows a user interface for report submission. At the top, there are three buttons: 'submit' (with a plus icon), 'Cancel/Clear' (with a minus icon), and 'Hide Additional' (with a document icon). Below these are several input fields and dropdown menus. The 'Execution Date' field contains the value '20110421' and has a calendar icon. A red validation message box is overlaid on the interface, stating: 'Report Class cannot be As-Of if execution date is today.' The 'Trade Type Cat 1' and 'Capacity Own' fields are also visible, each with a dropdown arrow. The 'Capacity Contra' field is partially visible on the right.

## C. Submission Confirmation

After creating your report and submitting, a pop-up confirmation will indicate if preliminary logic has been satisfied:



## VIII. Engine Rejected Reports

Reports can be rejected by the reporting engine for a variety of reasons. If you find that either a CMT Created Report, or an existing Report sent through your FIX connection to the TRF ends up on the "TRF Rejected Reports" tab, the following is true:

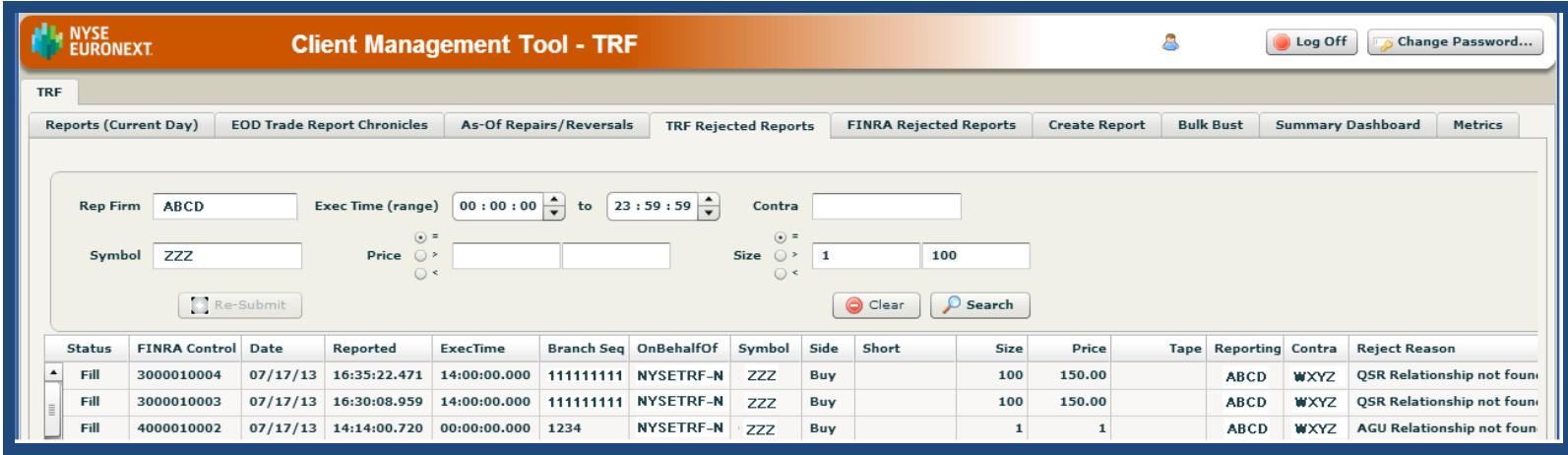
1. Your reports has not been presented to either SIAC or SIP.
2. Your report has not been presented to Finra for audit trail purposes.

These reports, instead, have been stopped at the engine gateway (GW), and thus requires the customer to correct any unacceptable tags or details before attempting to resubmit.

In the highlighted example below, a report in AAPL was rejected by the TRF engine with the error "Sold out of Seq not applicable"

# TRF CMT Customer User Manual

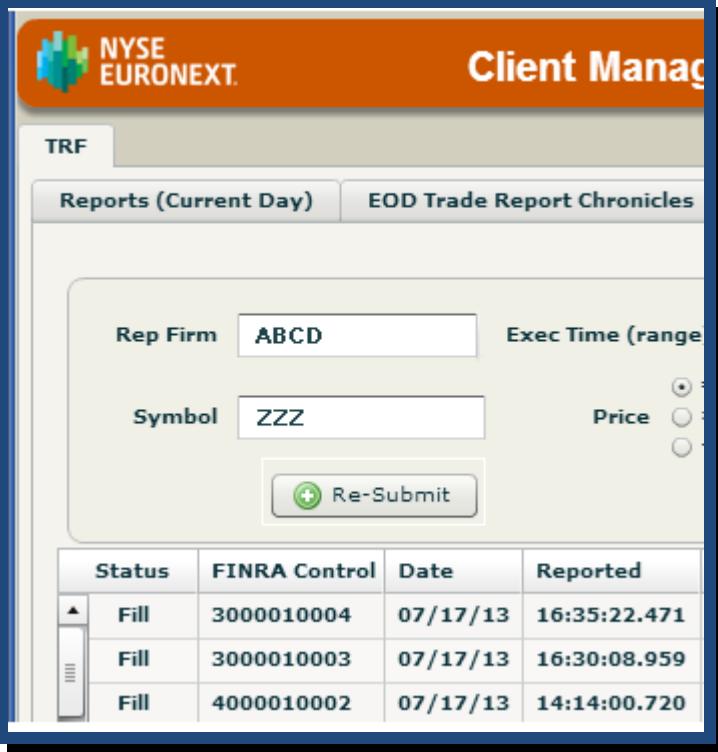
February 24, 2014



The screenshot shows the 'Client Management Tool - TRF' interface. At the top, there is a header bar with the NYSE Euronext logo, the title 'Client Management Tool - TRF', and user navigation links for 'Log Off' and 'Change Password...'. Below the header is a menu bar with links: 'Reports (Current Day)', 'EOD Trade Report Chronicles', 'As-Of Repairs/Reversals', 'TRF Rejected Reports' (which is the active tab), 'FINRA Rejected Reports', 'Create Report', 'Bulk Bust', 'Summary Dashboard', and 'Metrics'. The main content area contains a search form with fields for 'Rep Firm' (ABCD), 'Exec Time (range)' (00:00:00 to 23:59:59), 'Contra' (empty), 'Symbol' (ZZZ), 'Price' (radio buttons for =, >, <), and 'Size' (radio buttons for =, >, <) with values 1 and 100. Below the search form is a 'Re-Submit' button and a 'Clear' button with a trash icon. To the right of the search form is a 'Search' button with a magnifying glass icon. At the bottom is a table titled 'Rejected Reports' with columns: Status, FINRA Control, Date, Reported, ExecTime, Branch Seq, OnBehalfOf, Symbol, Side, Short, Size, Price, Tape, Reporting, Contra, and Reject Reason. The table contains three rows of data, each representing a rejected report.

Status	FINRA Control	Date	Reported	ExecTime	Branch Seq	OnBehalfOf	Symbol	Side	Short	Size	Price	Tape	Reporting	Contra	Reject Reason
Fill	3000010004	07/17/13	16:35:22.471	14:00:00.000	111111111	NYSETRF-N	ZZZ	Buy		100	150.00		ABCD	WXYZ	QSR Relationship not found
Fill	3000010003	07/17/13	16:30:08.959	14:00:00.000	111111111	NYSETRF-N	ZZZ	Buy		100	150.00		ABCD	WXYZ	QSR Relationship not found
Fill	4000010002	07/17/13	14:14:00.720	00:00:00.000	1234	NYSETRF-N	ZZZ	Buy		1	1		ABCD	WXYZ	AGU Relationship not found

Click on the "Re-Submit" button after highlighting your rejected report:



The screenshot shows a web-based application for managing trade reports. The header features the NYSE Euronext logo and the title 'Client Management'. A navigation bar includes tabs for 'TRF' (selected), 'Reports (Current Day)', and 'EOD Trade Report Chronicles'. The main content area contains search fields for 'Rep Firm' (ABCD) and 'Symbol' (ZZZ), and a 'Re-Submit' button. Below these are three radio buttons for 'Price' and 'Time'. A table displays three rejected report entries:

Status	FINRA Control	Date	Reported
Fill	3000010004	07/17/13	16:35:22.471
Fill	3000010003	07/17/13	16:30:08.959
Fill	4000010002	07/17/13	14:14:00.720

After clicking Re-Submit, you will be taken to the "Create Report" page, which will be pre-populated with the details of your rejected report.

**Create Report**

**Trade Info**

Report Class	Standard	Side	Buy	Short Sale Reason	Dealer Short	Tape	TRF Print
Symbol	AAPL	Size	3500	Price	35	Price Override	No
Rep Firm	ABCD	Contra	WXYZ	Execution Date	20110425	Execution Time (UTC/GMT)	00 : 00 : 52
TT Exempt	No	InterMarket Trade	No	Trade Type Cat 1	REGL	Trade Type Cat 3	

**Post Trade Info**

Branch Seq	AXS2REG035U	Contra Branch Seq		Capacity Own	Market Maker	Capacity Contra	Client
Clearing Indicator	Self-Clear	Own Clearing #					

**Buttons**

Submit Cancel/Clear Show Additional

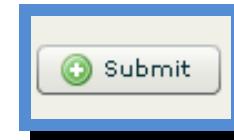
Make the necessary change, as per the Reject message:

Trade Type Cat 3

Capacity Own

Contra Clearing #

T (.T)  
U (Ext. Sold)  
Z (Sold)



And click Submit:

After receiving the submission confirm pop-up, check the Reports or the TRF Engine Rejects tab again to ensure that the proper correction was made.

## IX. Finra Rejected Reports

A trade report accepted by the TRF engine may not necessarily be accepted by Finra for audit trail reporting purposes. These rejects will populate the "Finra Rejects" tab on your CMT screen.

The following is true regarding Finra rejects:

- 1) If Tape was designated "Yes", the report has already been sent to SIP or SIAC for processing to the tape.
- 2) The Finra audit trail obligation(s) regarding both the tape and non-tape (if applicable) related reports remains to be fulfilled.

Contrary to Engine Rejects, Finra Rejected Reports are frequently not fix-able on the CMT. The NYSE TRF Operations group will fix and re-submit these reports on your behalf, presuming there are no extenuating circumstances with Finra or the customer which may prevent re-submission. In such case, a member of TRF Operations will contact you to determine the best course of action to ensure you are meeting your reporting obligation.

Date	ReportTime	ExecTime	BrSeq	OnBehalfOf	Symbol	Volume	Price	ClOrderID	Contra	RepFirm	Tape	Reject Reason
	15:00:32.84718		12345		AAI	1000	100					J-Finra test reject: volume > 500
	15:03:45.23407		12345		AAI	1000	100					J-Finra test reject: volume > 500
	15:04:36.58044		12345		AAI	1000	100					J-Finra test reject: volume > 500
	15:15:45.41643		12345		IBM	600	200.01					J-Finra test reject: volume > 500

## X. Fixing Reports

Visit the Reports page and mark the checkbox adjacent to the individual report you wish to correct. (Note: Only one trade report can be modified at a time.)

Select	Status	FINRA Control	Date	Reported	ExecTime	Report Class	Symbol	Side	Short	Size	Price	Tape	Error	Rep Firm	Contra	OnBehalf
<input checked="" type="checkbox"/>	Fill	3000010001	02/28/13	12:07:04.704	15:59:53.000	Standard	ZZZ	Sell		100	11.7	No		ABCD	WXYZ	
<input type="checkbox"/>	Fill	3000010000	02/28/13	12:07:04.704	15:59:53.000	Standard	ZZZ	Sell		100	22.545	No		ABCD	WXYZ	
<input type="checkbox"/>	Bust	2000000000	02/28/13	12:07:04.704	15:59:53.000	Standard	ZZZ	Sell		100	42.505	No		ABCD	WXYZ	

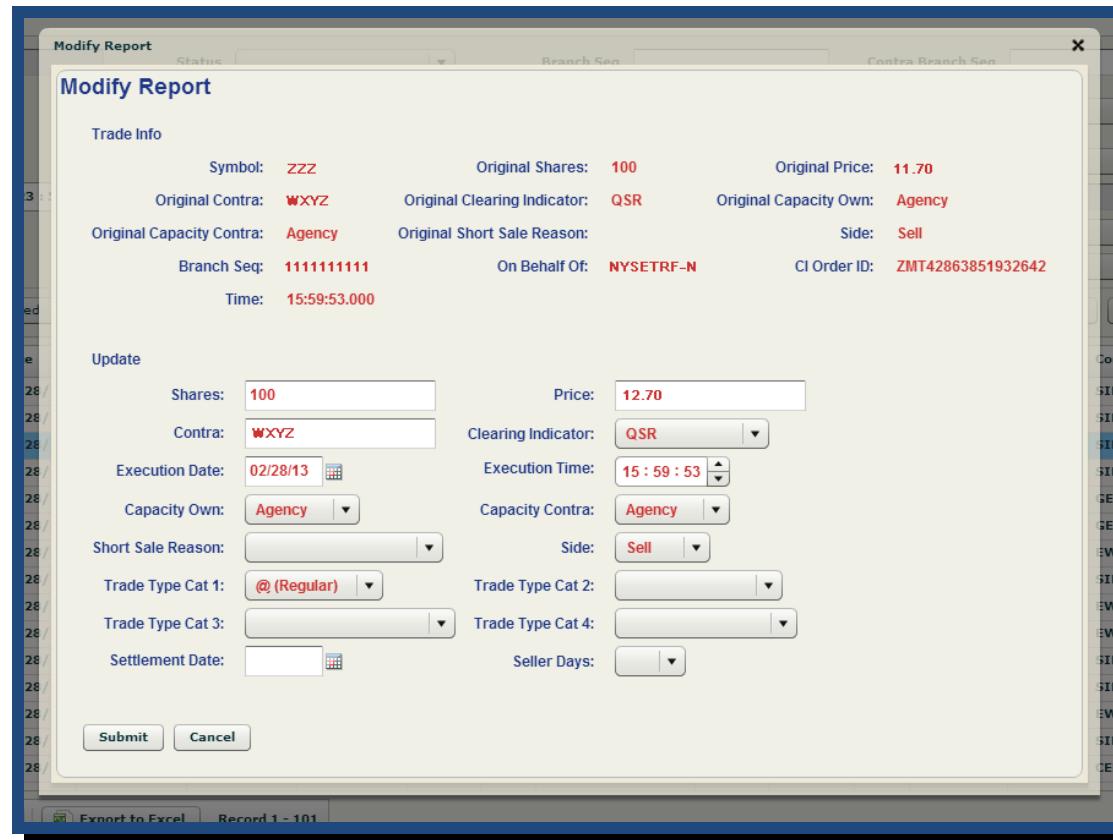


After checking the box, the "Fix One" and "Bust Selected" buttons will light up. Select "Fix One".

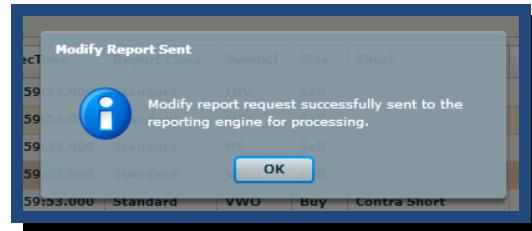
### A. Modify Report

You will now see a "Modify Report" screen pop up, with your report information at the top under "Trade Info".

Below that, under "Update", you will find several pre-populated fields which you can edit and re-submit. (In the case below, the Original Price has been adjust from "11.70" to "12.70").



After you've modified the appropriate detail(s), submit the modified report and a pop-up window will indicate if you have successfully submitted your modification.



The Reports page will show two reports when you conduct a search using a common identifier on both reports, e.g. Branch Seq.

Select	Status	FINRA Control	Date	Reported	ExecTime	Report Class	Symbol	Side	Short	Size	Price	Tape	Error
<input type="checkbox"/>	Fill	3000010005	02/28/13	17:11:53.311	13:59:53.000	Standard	ZZZ	Sell		100	12.7	No	
<input type="checkbox"/>	Adj	3000010001	02/28/13	12:07:04.704	15:59:53.000	Standard	ZZZ	Sell		100	11.7	No	

The original report will be re-displayed with Status "Adj". The corrected report will be displayed with Status "Fill"

Select	Status	FINRA Control	Date
<input type="checkbox"/>	Fill	3000010005	02/28/13
<input type="checkbox"/>	Adj	3000010001	02/28/13

**\*\*\*PLEASE NOTE THAT CORRECTED TRADE REPORTS ARE PRESENTED TO FINRA AUDIT TRAIL AS A CANCEL-AND-NEW TRADE\*\*\***

## Modified Report Behavior

Modified reports are presented to Tape (where applicable), Audit, and DTCC (where applicable).

		Modified Field										
Same Day Result		Clearing	Shares	Price	Contra	ExecDate	ExecTime	Cap Own	Cap Contra	Short Reason	Side	Trade Cnts 1-4
QSR/Customer/Self												
	Tape	Cancel/ New Report										
	Audit	Cancel/ New Report										
QSR N												
	Audit	Cancel/ New Report										
	DTCC	Reversal / New Report										
	Tape	Cancel/ New Report										
AGU Lock-In												
	Audit	Break / New Report										
	DTCC	Reversal / New Report										
	Tape	Cancel/ New Report										
As Of Result												
QSR/Customer/Self												
	Tape	Reversal / As-Of Report										
	Audit	Reversal / As-Of Report										
QSR N												
	Audit	Reversal / As-Of Report										
	DTCC (T+1 only)	Reversal / As-Of Report										
	Tape	Reversal / As-Of Report										
AGU Lock-In												
	Audit	Reversal / As-Of Report										
	DTCC (T+1 only)	Reversal / As-Of Report										
	Tape	Reversal / As-Of Report										

## XI. Busting Reports

Same day trade reports may be busted on a one-by-one basis, or up to 50 at a time, using the checkbox functionality under "Select".



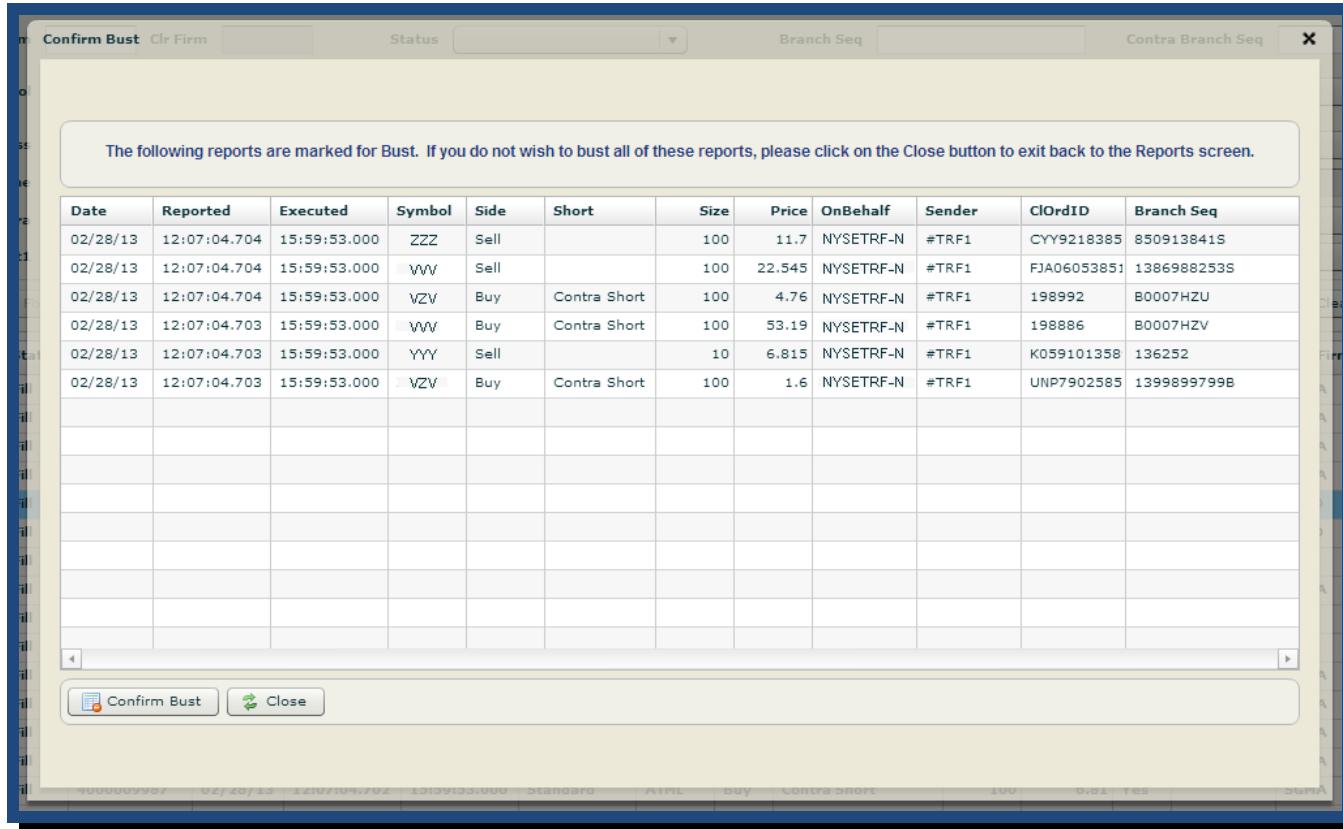
Select	Status	FINRA Control	Date	Reported	ExecTime	Report Class	Symbol	Side	Short	Size	Price	Tape	Error	Rep Firm	Contra
<input checked="" type="checkbox"/>	Fill	3000010001	02/28/13	12:07:04.704	15:59:53.000	Standard	ZZZ	Sell		100	11.7	No		ABCD	WXYZ
<input checked="" type="checkbox"/>	Fill	3000010000	02/28/13	12:07:04.704	15:59:53.000	Standard	VVV	Sell		100	22.545	No		ABCD	WXYZ
<input type="checkbox"/>	Fill	3000009999	02/28/13	12:07:04.704	15:59:53.000	Standard	XXX	Sell		100	43.505	No		ABCD	WXYZ
<input type="checkbox"/>	Fill	3000009998	02/28/13	12:07:04.704	15:59:53.000	Standard	XXX	Buy	Contra Short	100	43.505	Yes		ABCD	WXYZ
<input checked="" type="checkbox"/>	Fill	3000009997	02/28/13	12:07:04.704	15:59:53.000	Standard	VZV	Buy	Contra Short	100	4.76	Yes		ABCD	WXYZ
<input checked="" type="checkbox"/>	Fill	3000009996	02/28/13	12:07:04.703	15:59:53.000	Standard	VVV	Buy	Contra Short	100	53.19	Yes		ABCD	WXYZ
<input checked="" type="checkbox"/>	Fill	4000009995	02/28/13	12:07:04.703	15:59:53.000	Standard	YYY	Sell		10	6.815	No		ABCD	WXYZ
<input checked="" type="checkbox"/>	Fill	3000009994	02/28/13	12:07:04.703	15:59:53.000	Standard	VZV	Buy	Contra Short	100	1.6	Yes		ABCD	WXYZ
<input type="checkbox"/>	Fill	4000009993	02/28/13	12:07:04.703	15:59:53.000	Standard	YYY	Sell		10	6.815	No		ABCD	WXYZ
<input type="checkbox"/>	Fill	4000009992	02/28/13	12:07:04.703	15:59:53.000	Standard	XXX	Sell		90	6.815	No		ABCD	WXYZ


Select	Status	FINRA Control	Date
<input checked="" type="checkbox"/>	Fill	3000010001	02/28/13
<input checked="" type="checkbox"/>	Fill	3000010000	02/28/13
<input type="checkbox"/>	Fill	3000009999	02/28/13
<input type="checkbox"/>	Fill	3000009998	02/28/13
<input checked="" type="checkbox"/>	Fill	3000009997	02/28/13
<input checked="" type="checkbox"/>	Fill	3000009996	02/28/13
<input checked="" type="checkbox"/>	Fill	4000009995	02/28/13
<input checked="" type="checkbox"/>	Fill	3000009994	02/28/13

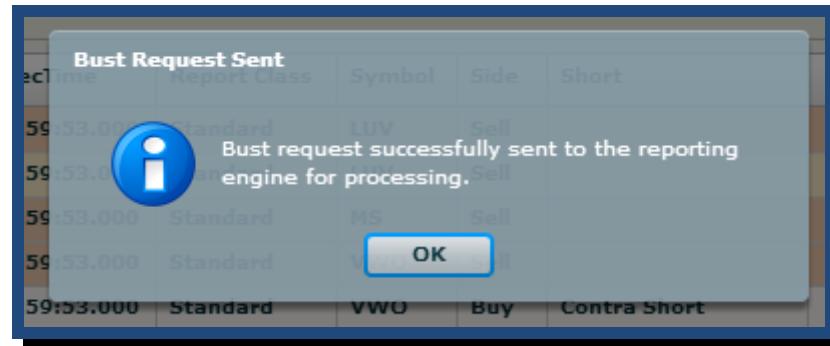


Click on "Bust Selected", and you will receive a pop-up table for confirmation:



Click on "Confirm Bust", to process your busts.

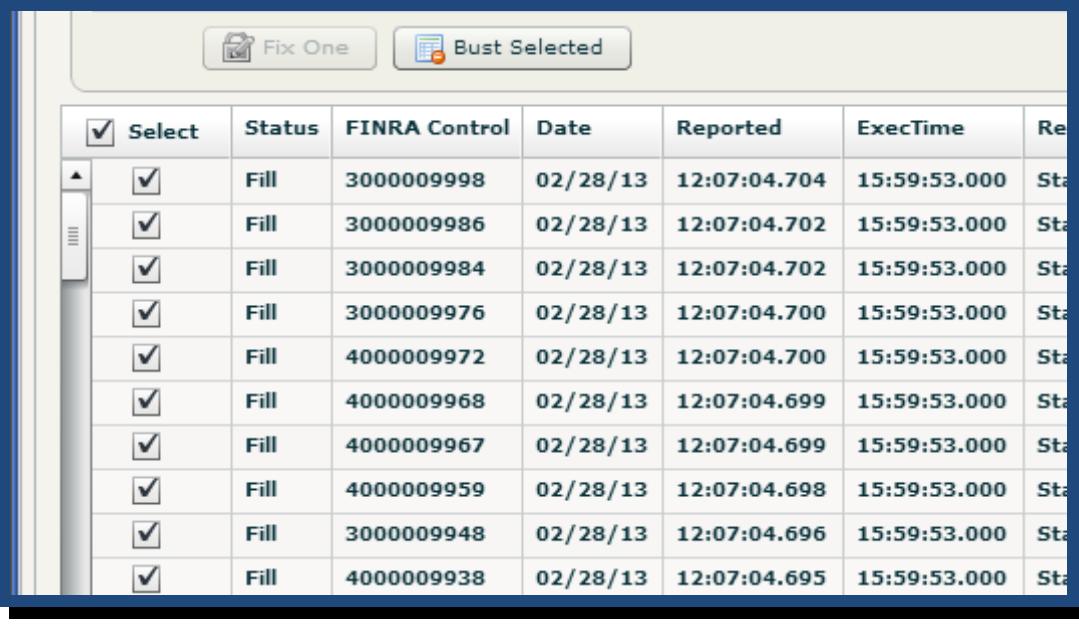
Upon successful submission, the following window will pop-up:



Filtering for “Busts” under Status on the Reports tab will return the following:

Select	Status	FINRA Control	Date
<input type="checkbox"/>	Bust	3000010005	02/28/2014
<input type="checkbox"/>	Bust	3000010000	02/28/2014
<input type="checkbox"/>	Bust	3000009999	02/28/2014
<input type="checkbox"/>	Bust	3000009994	02/28/2014
<input type="checkbox"/>	Bust	4000009991	02/28/2014
<input type="checkbox"/>	Bust	3000009990	02/28/2014

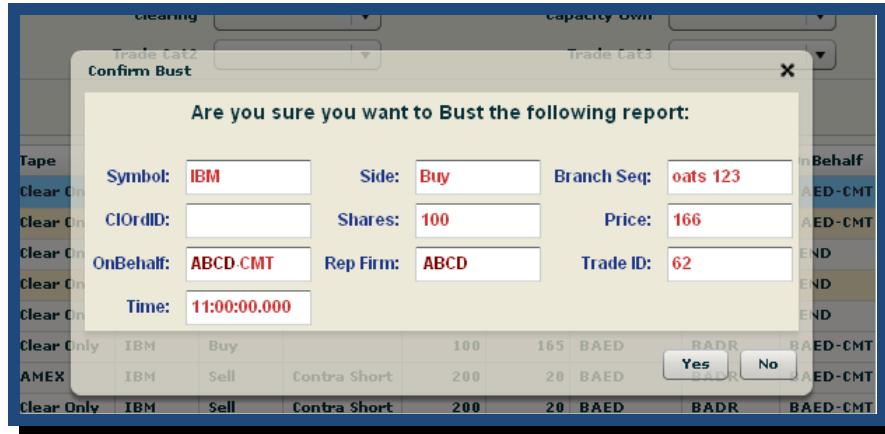
Clicking on the checkbox adjacent to “Select” will checkbox all of the orders on the page (up to 100); A pop-up confirmation will appear after clicking “Bust Selected”.



Select	Status	FINRA Control	Date	Reported	ExecTime	Re
<input checked="" type="checkbox"/>	Fill	3000009998	02/28/13	12:07:04.704	15:59:53.000	Sta
<input checked="" type="checkbox"/>	Fill	3000009986	02/28/13	12:07:04.702	15:59:53.000	Sta
<input checked="" type="checkbox"/>	Fill	3000009984	02/28/13	12:07:04.702	15:59:53.000	Sta
<input checked="" type="checkbox"/>	Fill	3000009976	02/28/13	12:07:04.700	15:59:53.000	Sta
<input checked="" type="checkbox"/>	Fill	4000009972	02/28/13	12:07:04.700	15:59:53.000	Sta
<input checked="" type="checkbox"/>	Fill	4000009968	02/28/13	12:07:04.699	15:59:53.000	Sta
<input checked="" type="checkbox"/>	Fill	4000009967	02/28/13	12:07:04.699	15:59:53.000	Sta
<input checked="" type="checkbox"/>	Fill	4000009959	02/28/13	12:07:04.698	15:59:53.000	Sta
<input checked="" type="checkbox"/>	Fill	3000009948	02/28/13	12:07:04.696	15:59:53.000	Sta
<input checked="" type="checkbox"/>	Fill	4000009938	02/28/13	12:07:04.695	15:59:53.000	Sta

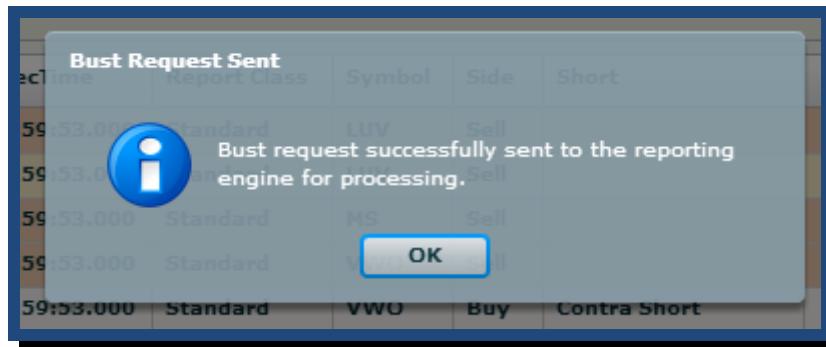
## B. Single Bust Confirmation

For a single bust, the following confirmation screen will pop up before completing the action:

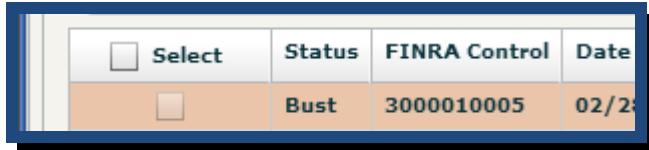


Click "Yes" to proceed.

A confirmation pop up will follow:



Return to the Reports page to confirm that the bust has taken place:



Select	Status	FINRA Control	Date
	Bust	3000010005	02/28/2014

## XII. Bulk Busts

Customers are prohibited from busting trade reports in bulk on CMT. Customers may, however, provide written notification to TRF Operations, requesting that multiple reports be canceled by TRF Operations from the tape and/or audit trail, utilizing the CMT. This written request must be accompanied by an Excel Spreadsheet delineating each report to be busted, containing at minimum the following information:

1. Time of Execution and/or Submission
2. Side
3. Symbol
4. Size
5. Price
6. Contra
7. Br Sequence/OATS ID

The representative of the Reporting Firm making this request must also include the following in the body of the e-mail:

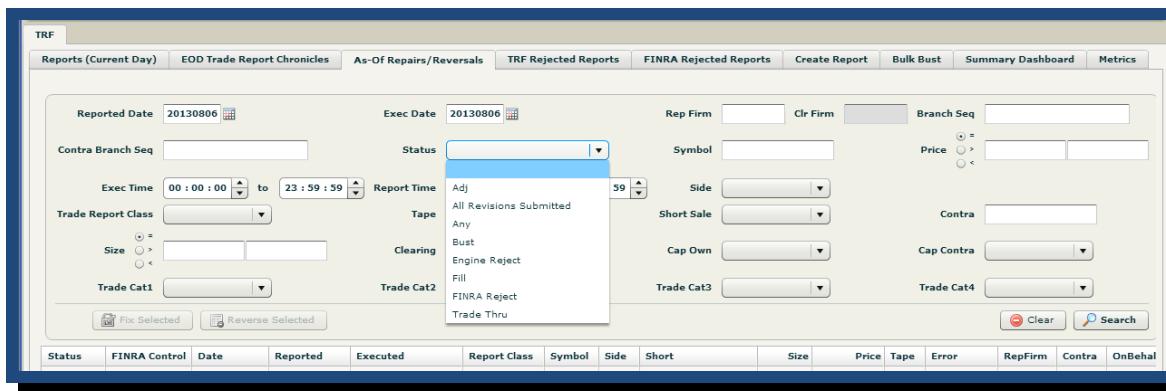
1. Full Name
2. Firm Name
3. Title
4. Phone Number
5. E-mail Address
6. Explanation of Circumstances for Request

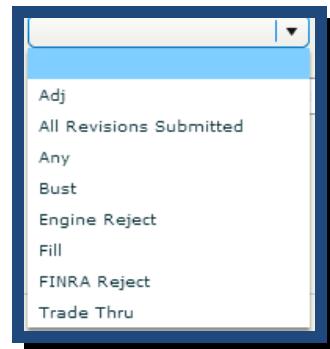
After receiving such information, TRF Operations will forward the request to Finra for approval.

### XIII. As-Of Repairs and Reversals/Breaks

Customers are able to repair or reverse TRF reports that have occurred in the following time range:

- ✓ Reports marked with a Clearing Indicator of “**AGU**” or “**QSR N**” can be acted on within a maximum T+1 timeframe.
- ✓ All other reports may be repaired or reversed, from T-1 through T-365. However, beyond T-180, the customer is required to provide their own original report record for the sake of repairs or reversals.
- ✓ Provides 6-months back-data .
- ✓ Filter for Finra and Engine Rejects, Possible Trade Thrus, Previously Revised Reports





## XIV. Message Flow for Previous Day Reversals

Date	Reported	Executed	Tape	Symbol	Side	Short	Size	Price	Rep Firm	Contra	OnBehalf	Sender	ClOrder
08/18/2011 12:33:22		20110817-12:	Yes	MSFT	Buy		100	30.00000	ABCD	DEFG	TRFTEST	#TRF1	344
08/18/2011 12:33:21		20110817-12:	Yes	MSFT	Buy		100	30.00000	ABCD	DEFG	TRFTEST	#TRF1	343
08/18/2011 12:33:20		20110817-12:	Yes	MSFT	Buy		100	30.00000	ABCD	DEFG	TRFTEST	#TRF1	342
08/18/2011 12:33:09		20110817-12:	Yes	MSFT	Buy		100	30.00000	ABCD	DEFG	TRFTEST	#TRF1	341

Filter and select the report you wish to correct or reverse.

Confirm the report you are reversing and click "Yes"



Verify the Reversal by searching under the Reports (Current Day) tab, and filtering for Trade Report Class "Reversal":

# TRF CMT Customer User Manual

February 24, 2014

Rep Firm	ABCD	Status	Any	Branch					
Symbol		Price		Price					
Report Class	Reversal	Tape	No	Price					
Exec Time	00 : 00 : 00	to	23 : 59 : 59	Report Time					
Contra		Clearing		Capacity					
Trade Cat1		Trade Cat2		Trade Cat3					
<input type="button" value="Fix Selected"/> <input type="button" value="Bust Selected"/>									
Status	Date	Reported	Executed	Tape	Symbol	Side	Short	Size	Time
Fill	08/17/11	19:14:16.050	12:33:17.000	No	XYZ	Buy		100	30
Fill	08/17/11	16:06:25.682	12:33:04.000	No	XYZ	Sell		100	30
Fill	08/17/11	15:23:43.810	09:30:00.000	No	XYZ	Sell		100	10
Fill	08/17/11	15:21:21.079	09:30:00.000	No	XYZ	Sell		100	10

## XV. Message Flow for Previous Day Fixes

Find and select the message you wish to fix (as above). The following example screen will pop-up:

Modify As Of Report

Trade Info

Size	1000	Price	29.300000	Contra	ABCD
Clearing Indicator	QSR clear	Capacity Own	Principal	Capacity Contra	Agency
Short Sale Reason	Dealer Short	Trade Type Cat 1	@ (Regular)	Trade Type Cat 2	F (ISO)
Trade Type Cat 3		Trade Type Cat 4			

Additional Details

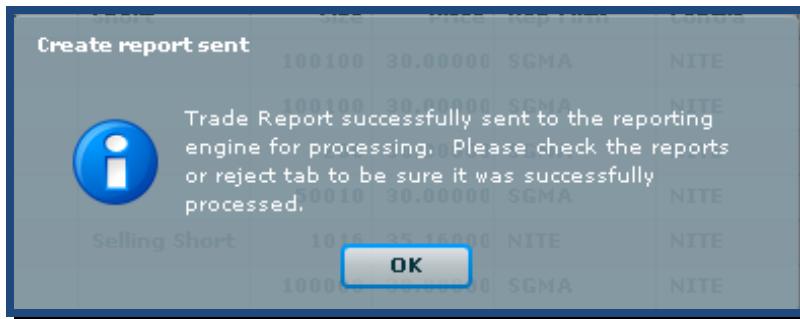
Branch Seq	LXS3REGTT01	Contra Branch Seq	LXS3REGTT01a	Rep Firm	WXYZ
Execution Date	20130717	Execution Time	11 : 17 : 32	TT Exempt	Yes
Price Override	No	Exec Firm		Give Up Contra	
Settlement Date		Seller Days			

Submit Cancel/Clear Hide Additional

Select the field you wish to fix. In this case, we will increase the share size:

Size	10000
Indicator	QSR clear
Action	Dealer Short

Submit the fix:



The TRF CMT engine will submit a reversal for the original QSR N report and issue a new report with the requested fix:

Rep Firm	<input type="text"/>	Status	Any	<input type="button" value="▼"/>	Branch Seq	<input type="text"/>	Contra Bra					
Symbol	<input type="text"/>	Price	<input type="text"/>	<input type="button" value="▼"/>	Volume	<input type="text"/>						
Report Class	<input type="text"/>	Tape	<input type="text"/>	<input type="button" value="▼"/>	Price Override	<input type="text"/>	<input type="button" value="▼"/>					
Exec Time	<input type="text"/> 00 : 00 : 00 <input type="button" value="▲"/> to <input type="text"/> 23 : 59 : 59 <input type="button" value="▲"/>	Report Time	<input type="text"/> 00 : 00 : 00 <input type="button" value="▲"/> to <input type="text"/> 23 : 59 : 59 <input type="button" value="▲"/>	<input type="button" value="▼"/>	OnBehalf	<input type="text"/>	<input type="button" value="▼"/>					
Contra	<input type="text"/>	Clearing	<input type="text"/>	<input type="button" value="▼"/>	Capacity Own	<input type="text"/>	<input type="button" value="▼"/>					
Trade Cat1	<input type="text"/>	Trade Cat2	<input type="text"/>	<input type="button" value="▼"/>	Trade Cat3	<input type="text"/>	<input type="button" value="▼"/>					
<input type="button" value="Fix Selected"/> <input type="button" value="Bust Selected"/>												
Status	Report Class	Date	Reported	Executed	Tape	Symbol	Side	Short	Size	Price	Rep Firm	Contra
Fill	Reversal	08/17/11	14:14:20.614	12:33:15.000	No	XYZ	Sell		100	30.00000	ABCD	DEFG
Fill	As-Of	08/17/11	14:14:20.594	12:33:15.000	Yes	XYZ	Buy		150	30.00000	ABCD	DEFG

The reports page will feature both the Reversal (opposite side of original report) and the As-Of fix, as seen here

## XVI. EOD Trade Report Chronicles

CMT users have the capability of downloading their daily reporting activity as Reporting Firm or as Contra, using the EOD Trade Report Chronicle.

**Reporting Firm View** – Customers can query all Finra/NYSE TRF reports by a single Reporting Firm MPID. Total records are available with maximum 250,000 per file, downloadable to Excel. Data available going back six months.



NYSE Euronext Client Management Tool - TRF

TRF

Reports (Current Day) EOD Trade Report Chronicles As-Of Repairs/Reversals TRF Rejected Reports FINRA Rejected Reports

Reporting Party Trade Journal Contra Party Trade Journal

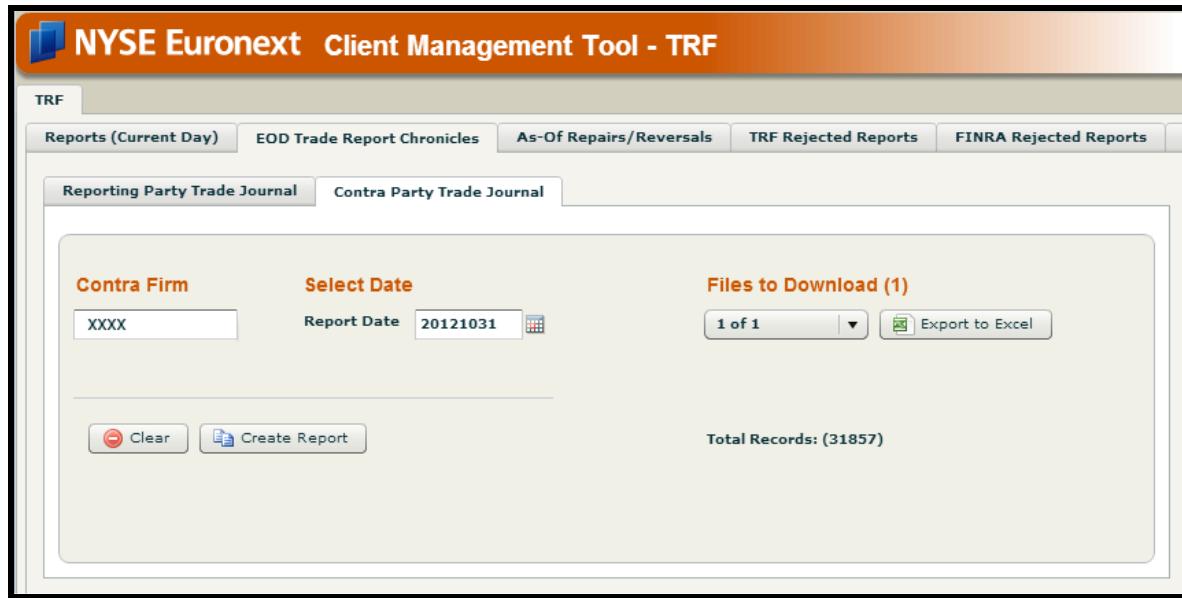
Select Rep Firm: ABCD    Select Date: Report Date 20121025    Files to Download (5)

1 of 5    Export to Excel

Total Records: (1061024)

1 of 5  
2 of 5  
3 of 5  
4 of 5  
5 of 5 024)

**Contra Firm View** – Customers can query all Finra/NYSE TRF reports where their MPID is reported as contra party to a trade report. Total records available and maximum 250,000 per file, downloadable to Excel. Data available going back six months.



## XVII. FINRA/NYSE TRF Clearing Definitions

Finra/NYSE TRF provides customers with several clearing and non-clearing options when reporting to the facility. Customer must designate whether their reports fall into one of the following clearing categories: Customer, QSR, QSR N, AGU Locked In, or Self-Clear.

### A. AGU Lock-In

Customers may send reports to the FINRA/NYSE TRF if they have agreements in place which authorize them to act on behalf of other Finra members. These agreements establish the reporting relationship with the FINRA SRO, and are required before a Reporting Firm can report on behalf of another broker-dealer. AGU Lock-In reports are cleared directly to DTCC by the Finra/NYSE TRF

### B. QSR (Qualified Special Representatives)

Customers may send reports to the FINRA/NYSE TRF if they have agreements in place which authorize them to act on behalf of other Finra members. These agreements establish the reporting relationship with the FINRA SRO, and are required before a Reporting Firm can report on behalf of another broker-dealer. QSR reports are treated as locked-in, non-clearing transactions.

### C. QSR N

Customers may send reports to the FINRA/NYSE TRF if they have agreements in place which authorize them to act on behalf of other Finra members. These agreements establish the reporting relationship with the FINRA SRO, and are required before a Reporting Firm can report on behalf of another broker-dealer. QSR N reports are treated as locked-in, clearing eligible transactions. FINRA/NYSE TRF will report these transactions directly to DTCC on behalf of the customer.

### D. Customer

Non-clearing transaction, typically used for agency crosses, in which the Reporting Firm is also listed as the Contra on executions that will be assigned to an internal customer of the Reporting Firm.

### E. Self Clearing

The reporting firm is Self-Clearing the transaction.

## XVIII. Clearing/Non-Clearing Processing

### A. AGU Lock-In Behavior

When “busting” or “canceling/adjusting” a same day AGU Lock In report, TRF sends a trade “Break” message to Finra, which Finra in turn reverses on your behalf to DTCC; If you have elected to “Fix” the report, TRF then submits a new Trade Report on your behalf with the information you have provided on the rectified report. When making a previous day “bust” or “fix”, TRF will submit to Finra a “Reversal” message. Finra/NYSE TRF forwards to DTCC and, if the report is being “fixed”, TRF will submit to Finra an As-Of Trade Report with your specified changes to the original report, which Finra will then forward to DTCC on your behalf. Additionally, a prior-day cancel/as-of cancel/new Trade Report will be submitted to the appropriate tape plan as required.

\*\*\* PLEASE NOTE: AGU LOCK -INS may only be rectified on a maximum timeframe of T-1 through the TRF. You will need to make arrangements directly with DTCC for any changes to reports which were originally submitted T-2 or earlier. **Furthermore, any changes made directly with DTCC must also be rectified with the tape and Finra Audit Trail.**\*\*\*

### B. QSR Behavior

When “busting” or “canceling/adjusting” a same day QSR (non-clearing) report, TRF will submit to Finra a trade “Cancel” message and a new Trade Report (if applicable). Additionally, the Tape will be automatically rectified by the TRF. For previous day changes (fixes or busts), a reversal will be submitted to the Tape and to Finra, followed by a new As-Of trade report (if applicable).

### C. QSR N Behavior

When “busting” or “canceling/adjusting” a same day QSR N report, TRF will submit a “Cancel” message to the Tape and Finra, and then submit a Reversal record directly to DTCC on your behalf. A new Trade Report will be submitted on your behalf (if applicable). For previous day changes (fixes or busts), the same scenario will apply.

\*\*\* PLEASE NOTE: QSR N Reports may only be rectified on a maximum timeframe of T-1 through the TRF. You will need to make arrangements directly with DTCC for any changes to reports which were originally submitted T-2 or earlier. **Furthermore, any changes made directly with DTCC must also be rectified with the tape and Finra Audit Trail.**\*\*\*

#### D. Customer/Self Clearing Behavior

When “busting” or “canceling/adjusting” a same day Customer/Self Clearing report, TRF will submit to Finra a trade a “Cancel” message, and a new Trade Report (if applicable). Additionally, the Tape will be automatically rectified by the TRF. For previous day fixes or busts, a reversal will be submitted to the Tape and to Finra, followed by a new As-Of trade report (if applicable).

### XIX. Summary Dashboard

#### A. Overview

The Summary Dashboard is designed to provide TRF Reporting firms key information about their report flow at a glance, with the option of retrieving detailed information about any and all such reports which may be considered an “exception”

#### B. Screen

The Summary Dashboard can be accessed from the tab at the far right of your screen:

# TRF CMT Customer User Manual

February 24, 2014

The screenshot displays the Client Management Tool - TRF interface. At the top, there is a header bar with the NYSE and Euronext logos, the title "Client Management Tool - TRF", and navigation links for "Log Off" and "Change Password...". Below the header is a menu bar with links: "Reports (Current Day)", "EOD Trade Report Chronicles", "As-Of Repairs/Reversals", "TRF Rejected Reports", "FINRA Rejected Reports", "Create Report", "Bulk Bust", "Summary Dashboard", and "Metrics".

The main content area is divided into several sections:

- Published for ABCD**: A table showing "Current Date" data for "Type" (Bust, Trade Report, As Of, Reversal, Correction) across "Tape" and "Non-Tape" categories. For example, Bust is 3 for Tape and - for Non-Tape.
- Clearing for ABCD**: A table showing "Current Date" data for "Type" (Bust, Trade Report, As Of, Reversal, Correction) across "QSR" and "Self-Clear" categories. For example, Bust is - for QSR and 3 for Self-Clear.
- Trade Modifiers for ABCD**: A table showing "Modifier" and "Count" for various codes: @ (Regular) 438312, T (.T) 2, C (Cash), N (Next Day), R (Seller), 4 (Deriv. Price), 7 (Err. Correct), 8 (Prt. Protect), F (Init. Sweep), F (ISO), J (Subpenny), Self Help, V (Q-Contingent), TRF Assigned Form T, TRF Assigned Form U, TRF Assigned Sold, U (Ext. Sold), Z (Sold), .RA (PxUnrelated), .RX (OptionEx), A (Acquisition), D (Distribution), I (Cap Election), P (Prior Ref.), S (Split Trade), and TRF Assigned .W.
- Possible Trade Thru for ABCD**: A table showing "Current Day: 122" and "Previous Day".
- Riskless Principal for ABCD**: A table showing "Current Day (Not TT Exempt): 122" and "Previous Day (Not TT Exempt)".
- All Revisions Submitted Today**: A callout box indicating 1 revision submitted today.

Each table includes an "Export to Excel" button.

A closer look at the categories:

**Trade Modifiers for ABCD**

Modifier	Count
@ (Regular)	<a href="#">438312</a>
T (.T)	<a href="#">2</a>
C (Cash)	
N (Next Day)	
R (Seller)	
4 (Deriv. Price)	
7 (Err. Correct)	
8 (Prt. Protect)	
F (Init. Sweep)	
F (ISO)	
J (Subpenny)	
Self Help	
V (Q-Contingent)	
TRF Assigned Form T	
TRF Assigned Form U	
TRF Assigned Sold	
U (Ext. Sold)	
Z (Sold)	
PA (Purposely)	

**Published for ABCD**

**Current Date**

Type	Tape	Non-Tape
Bust	<a href="#">172</a>	<a href="#">50</a>
Correction	<a href="#">105</a>	
Trade Report	<a href="#">156</a>	

**Previous Day for ABCD**

Type	Tape	Non-Tape
Bust	<a href="#">16</a>	<a href="#">13</a>
Correction	<a href="#">7</a>	
Reversal	<a href="#">80</a>	
Trade Report	<a href="#">9</a>	

**Riskless Principal for ABCD**

Type	count
Trade Report	<a href="#">150</a>
Bust	<a href="#">50</a>
Correction	<a href="#">10</a>
Reversal	<a href="#">150</a>
As Of	<a href="#">150</a>

Click on any number to link you to the reports contained therein. Monitor by Trade Modifiers, Current and T-1 data, and Riskless Principal transactions.

You can also monitor your activity by clearing type and keep track of any changes you may have made during the day.

Clearing for ABCD					
Current Date					
Type	QSR	Self-Clear	Customer	AGU Locked In	QSR Clear
Bust	<a href="#">41</a>	<a href="#">32</a>	<a href="#">30</a>	<a href="#">90</a>	<a href="#">29</a>
Correction	<a href="#">32</a>	<a href="#">30</a>	<a href="#">43</a>		
Trade Report	<a href="#">53</a>	<a href="#">32</a>	<a href="#">32</a>	<a href="#">32</a>	<a href="#">2</a>

Previous Day					
Type	QSR	Self-Clear	Customer	AGU Locked In	QSR Clear
Bust	<a href="#">6</a>		<a href="#">1</a>	<a href="#">20</a>	<a href="#">2</a>
Correction		<a href="#">2</a>	<a href="#">5</a>		
Reversal				<a href="#">48</a>	<a href="#">32</a>
Trade Report	<a href="#">9</a>				

Additionally, you can easily track all of your intraday submitted revisions to same-day or as-of reports by clicking here:

All Revisions Submitted Today

After clicking this button, you will be transferred to the Reports (Current Day) tab, automatically filtered for “All Revisions Resubmitted” for the corresponding MPID highlighted on the Summary Dashboard. Busts and adjusts on same day trades, reversals and corrections on an as-of basis, will all be visible here.

## XX. Metrics Page

**Contra Report for ABCD**

Contra	Count	Volume
ARUS	44	434400
BAYT	420	155200
BEST	4348	1710000
BIDS	42578	5288400
BLBG	4	296800
BNPS	30	42600
BOOK	15976	7399400
BTGG	3232	679400
CCMX	3906	1786600
CDGO	1468	277200
CDRG	17358	1823200
CEMM	1976	197600
CIST	4	32000
COWN	6	13274
DBAB	9170	2225400
DEMA	2	97400
DTIX	16486	4821400
ECUT	54	748540
FBCO	62706	15054736
GATE	26	542572
GOTO	1494	549600
GSAA	240	39400
GSCC	12	1200
GSCO	35680	7382800

**Volume Analysis for ABCD**

Category	Volume
Total Reported	64804223
Total Media	32313723
Total Non-Media	32490500
Total NYSE TRF	578736896
Firm NYSE TRF Share	22.18%
Tape A	84681152
Tape B	6657500
Tape C	37013294
PostTrade thru %	0

**SSR**      **Halts**      **Limit Up/Limit Down**

Symbol	SSR Trigger	SSR Exp	Halted	Reason	Resumed	LULD Event	LU/LD	State	Lo Band	Hi Band
ABIO	13:04:59									
ADEP		20:00:00								
ALVR	11:00:20									
AMBO			02:54:08	H						
AMCF	15:50:14									
ANCB		20:00:00								
ANCI	11:13:29									

**Possible Trade Thrus** 32      **Possible SSR Violations** 1097      **LU/LD Rejects** 3

[Export to Excel](#)      [Search Symbol](#)      [LU/LD History](#)

[Fix SSRs](#)

## A. Overview

The “Metrics” tab provides FINRA/NYSE TRF® users with an overview of key statistics, contra customer breakouts, a Sell Short Restriction monitor, Halt monitor, and Limit Up Limit Down monitor.

## B. Date Selection

The “Metrics” tab is visible for individual trading days, with 6 months of history and exportable to Excel.



Customers may search as the Rep Firm, or, if permissioned, as a Clearing Firm. Click on the calendar icon to select a date.

## C. Volume Analysis

The Volume Analysis table provides key statistics for the Date selected.

Volume Analysis for ABCD	
Category	Volume
<b>Total Reported</b>	37768605
<b>Total Media</b>	32241056
<b>Total Non-Media</b>	5527549
<b>Tape A - Media</b>	19083949
<b>Tape B - Media</b>	5761896
<b>Tape C - Media</b>	7395211
<b>Pos Trade thru %</b>	.020%
<b>Total NYSE TRF - Media</b>	145392160

 [Export to Excel](#)

**Total Reported** = Shares (media and non-media) reported by MPID or Clearing ID

**Total Media** = Shares reported to the TRF as "Media" by MPID or Clearing ID (includes oddlots)

**Total Non-Media** = Shares reported to the TRF as "Non-Media" by MPID or Clearing ID

**Tape A - Media** = Total Media Shares in Tape A symbols, by MPID or Clearing ID

**Tape B - Media** = Total Media Shares in Tape B symbols, by MPID or Clearing ID

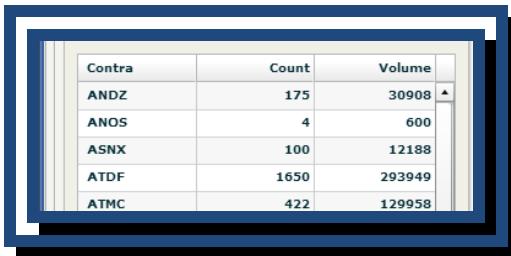
**Tape C - Media** = Total Media Shares in Tape C symbols, by MPID or Clearing ID

**PosTrade thru %** = Percentage of Media Reports Flagged as Possible Trade Thru, by MPID or Clearing ID

**Total NYSE TRF - Media** = Total "Media" share reported by all participants of the FINRA/NYSE TRF®

#### D. Contra Report

The Contra Report table provides statistics on contra party population (media and non-media), per user MPID or Clearing ID. Data is broken down by trade Count and Volume. All columns are sortable



Contra	Count	Volume
ANDZ	175	30908
ANOS	4	600
ASNX	100	12188
ATDF	1650	293949
ATMC	422	129958

#### E. SSR Monitor

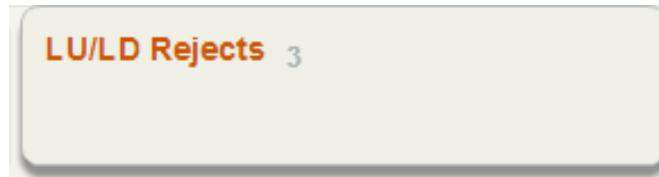
The SSR Monitor features a clickable counter of all “Media” reports which are possibly in violation of Sell Short Restrictions (SSR) in various symbols.



Click on the counter to bring up a detailed table of the reports in question.

## F. Limit Up Limit Down Rejects

The LU/LD Rejects counter alerts users to reports rejected by the TRF Engine due to violation of Limit Up or Limit Down bands. Users should navigate to the TRF Rejects tab to locate any LU/LD Rejects.



## G. SSR, Halts, and Limit Up/Limit Down Monitor

Users can keep track of symbol-specific events throughout the day with the SSR, Halts, and Limit Up/Limit Down Monitor.

A screenshot of a software interface titled "SSR", "Halts", and "Limit Up/Limit Down". The interface features a table with columns for Symbol, SSR Trigger, SSR Exp, Halted, Reason, Resumed, LULD Event, LU/LD, State, Lo Band, and Hi Band. The table contains data for symbols ABIO, ADEP, ALVR, AMBO, AMCF, ANCB, and ANCI. At the bottom of the interface are buttons for "Export to Excel", "Search Symbol", and "LU/LD History".

Symbol	SSR Trigger	SSR Exp	Halted	Reason	Resumed	LULD Event	LU/LD	State	Lo Band	Hi Band
ABIO	13:04:59									
ADEP		20:00:00								
ALVR	11:00:20									
AMBO			02:54:08	H						
AMCF	15:50:14									
ANCB		20:00:00								
ANCI	11:13:29									



The screenshot shows a table titled "SSR" with three columns: "Symbol", "SSR Trigger", and "SSR Exp". The data is as follows:

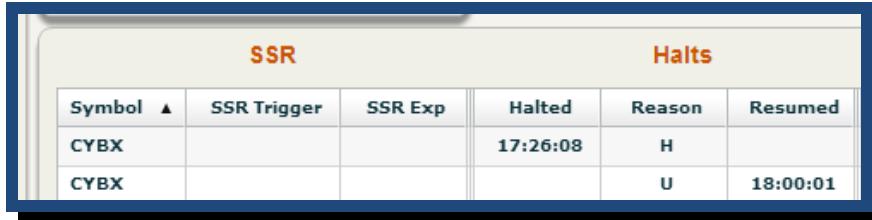
Symbol	SSR Trigger	SSR Exp
ABIO	13:04:59	
ADEP		20:00:00
ALVR	11:00:20	
AMBO		
AMCF	15:50:14	
ANCB		20:00:00
ANCI	11:13:29	

Below the table are two buttons: "Export to Excel" and "Search".

Customers can sort for all events by Symbol, or by any other column on the table.

The SSR table records intraday SSR Triggers, and also maintains SSR symbols carried over from the previous, initiating day, marked to expire at "20:00:00" of the current trading day.

Customer can view all intraday Halts and Unhalts for any particular symbol.



SSR		Halts				
Symbol	▲	SSR Trigger	SSR Exp	Halted	Reason	Resumed
CYBX				17:26:08	H	
CYBX					U	18:00:01

**Halt Codes:**

**H = Regulatory Halt**

**K = LULD Halt**

**1, 2, or 3 = Marketwide Circuit Breaker Halt**

**O = Open**

**U = Unhalt**

**The Limit Up/Limit Down monitor provides information on the most recent LU/LD event occurring during the current trading day in any given symbol.**



## LULD Event – Timestamp of the event

**LU/LD - Direction of the event (LU = Limit Up [green]; LD = Limit Down [red])**

### **State - Code describing nature of the LU/LD event**

**C = Bid Limit State Entered (LU)**

### **D = Bid Limit State Exited (LU)**

**E = Ask Limit State Entered (LD)**

### **F= Ask Limit State Exited (LD)**

### I = Bid Entered / Ask Exited (L)

### J ≡ Bid Exited / Ask Entered (JD)

**d** = Lower band price at time of ev.

## WIP: Read: How should a designer think about content?

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Click on the button to display all of the LU/LD events for that particular symbol during the current trading day.

A screenshot of a "LU/LD History" window. The window has a title bar "LU/LD History" and a "Volume" tab. The main area is a table with columns: "Symbol", "LULD Event", "LU/LD", and "State". The table contains numerous rows of data, mostly for "BXDB". The "LU/LD" column is mostly red, and the "State" column is mostly "E".

Symbol	LULD Event	LU/LD	State
BXDB	09:46:38.462000	LD	E
BXDB	09:46:38.547000	LD	F
BXDB	09:46:43.395000	LD	E
BXDB	09:46:43.435000	LD	F
BXDB	09:46:45.201000	LD	E
BXDB	09:46:47.915000	LD	F
BXDB	09:46:47.955000	LD	E
BXDB	09:46:48.104000	LD	F
BXDB	09:46:48.464000	LD	E
BXDB	09:46:49.123000	LD	F
BXDB	09:46:49.761000	LD	E
BXDB	09:46:52.843000	LD	F
BXDB	09:46:54.206000	LD	E
BXDB	09:46:56.413000	LD	F
BXDB	09:46:57.172000	LD	E
BXDB	09:46:58.248000	LD	F
BXDB	09:46:59.029000	LD	E
BXDB	09:47:00.730000	LD	F
BXDB	09:47:02.595000	LD	E
BXDB	09:47:03.845000	LD	F
BXDB	09:47:13.562000	LD	E
BXDB	09:47:13.602000	LD	F

Buttons at the bottom include: Page 1, Previous, Next, Last, Export to Excel, and Record 1 - 100.

## XXI. Support

Please contact the NYSE Arca Trade Desk at (888) 513-9873 for any questions regarding the Finra/NYSE TRF, or contact Chris Mazzacano directly at 312-442-7053

## XXII. Appendix

### A. Trade Category Key

**Trade Cat1:** @ (Regular), C (Cash), N (Next Day), R (Seller)

**Trade Cat2:** 4 (Deriv. Price), 7 (Err. Correct), 8 (Prt. Protect), F (Init. Sweep), F (ISO), J (Subpenny), Self Help, V (Q-Contingent)

**Trade Cat3** T (Form T), U (Ext Sold), Z (Sold)

**Trade Cat4:** .RA (PxUnrelated), .RS (Option Ex), A (Acquisition), D (Distribution), I (Cap Election), P (Prior Ref), S (Split Trade), W (Avg. Price), W (Stopped)

### B. Tape Designation Key

**Yes:** TRF report to Tape, executed OTC and printed as ADF.

**No:** Non-tape report to Finra, executed OTC

**Related Markets:** Nasdaq, NYSE, AMEX, BSX (Boston), BATS, BATSY, EDGA, EDGX, NSX (National), ISX, CHX (Midwest), PSE (NYSEArca), CBSX, Unknown, Unspecified, ACT, Nasdaq PSX, ADF, Foreign

### C. Clearing Indicators Key

**AGU Locked In:** Reporting Firm has established AGU relationship with Contra and Finra; Finra/NYSE TRF will submit reports on behalf of Reporting Firm directly to DTCC.

**Customer:** Clearing will be fulfilled by customer

**QSR:** Reporting Firm has established QSR relationship with Contra and Finra; Contra must be Finra member; No clearing.

**QSR Clear:** Reporting Firm has established QSR relationship with Contra and Finra; NYSE TRF will submit reports on behalf of Reporting Firm directly to DTCC.

**Self-Clear:** Reporting Firm is a self-clearing participant.

### D. *Report Status Key*

#### Reports

**Any:** All reports reflected within the selected parameters.

**Fill:** Reports which have been accepted by Finra and reported to the tape (if Tape=Yes)

**Bust:** Report which has been removed from Finra audit trail and the tape (if Tape=Yes)

**Adj:** Original trade report which has since been modified.

**All Revisions Resubmitted:** Busts, adjusts, reversals, and cancels combines in one report

## As-Of Repairs/Reversals

**Engine Reject:** Report rejected by the TRF Engine on a previous day.

**FINRA Reject:** Report rejected by FINRA on a previous day.

**Trade Thru:** Report marked as a Possible Trade Through on a previous day

**Fill:** Reports which have been accepted by the engine and reported to the tape (if Tape=Yes)

**Bust:** Report which has been removed from Finra audit trail and the tape (if Tape=Yes)

**All Revisions Resubmitted:** Busts, adjusts, reversals, and cancels combines in one report

## E. Excel Output Fields

**Reporting Firm View**

	<u>Reports</u>	<u>EOD Reports</u>	<u>As Of Repairs</u>	<u>TRF Rejects</u>	<u>FINRA Rejects</u>
Status	★	★	★	★	
FINRA Control	★	★	★	★	★
Date	★		★		★
Reported	★	★	★	★	★
Executed		★	★		
ExecTime	★			★	★
Report Class	★	★	★		★
Symbol	★	★	★	★	★
Side	★	★	★	★	★
Short	★	★	★	★	★
Size	★	★	★	★	★
Price	★	★	★	★	★
Tape	★	★	★	★	★
Error	★	★	★		
Reject Reason				★	★
Resubmitted				★	
Rep Firm	★	★	★	★	★
Contra	★	★	★		★
OnBehalfOf	★	★	★	★	★
ClOrdIDInt	★	★	★	★	★
Branch Seq	★	★	★	★	★
Contra Branch Seq	★	★	★		
Clearing	★	★	★		
Clear#	★	★	★		

ContraClear#	★	★	★
CapOwn	★	★	★
CapContra	★	★	★
Exec Firm	★	★	★
Trade Cat 1	★	★	★
Trade Cat 2	★	★	★
Trade Cat 3	★	★	★
Trade Cat 4	★	★	★
Seller Date	★	★	★
Seller Days	★		★
National Bid	★	★	★
National Offer	★	★	★
PxOverride	★	★	★
IsTradeThru	★	★	★
TT Exempt	★	★	★
Explicit Fee	★		★
Price Type	★		★
Market Center	★		★
Memo	★		★
Sender	★	★	★