



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 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

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=202Ajl7VEg6hnScSRZQ6O59ZU&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: 202Ajl7VEg6hnScSRZQ6O59ZU

* 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.

For additional product specific support, please contact:

CMT: CMT@nyx.com

GEMS: GEMSUserRequest@nyx.com

GEMS SOS: BrokerServices@nyx.com

NYSE: 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: * 202Ajl7VEg8hnScSRZQ6O59ZU

E-mail: * smurphy@nyx.com

PIN: ?

Re-type PIN:

Pass-phrase: * ?

Re-type pass-phrase: *

Select address fields to remove from the certificate.

	Address as it will appear in certificate	Remove
Address1:	20 Broad Street	<input type="checkbox"/>
Address2:	<input type="text"/>	<input type="checkbox"/>
Address3:	<input type="text"/>	<input type="checkbox"/>
City:	New York	<input type="checkbox"/>
State or province:	NY	<input type="checkbox"/>
Postal Code:	10005	<input type="checkbox"/>

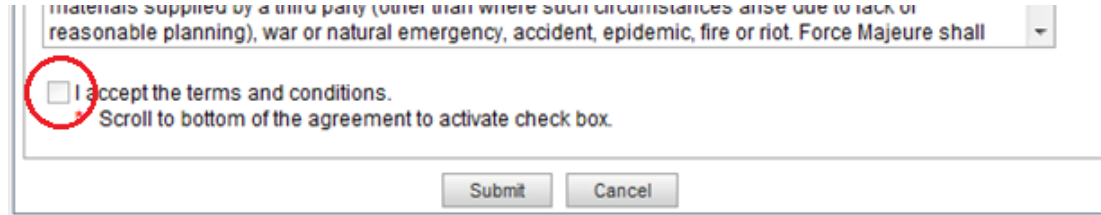
THIS AGREEMENT CONTAINS A BINDING ARBITRATION CLAUSE. PLEASE READ THE AGREEMENT CAREFULLY BEFORE ACCEPTING THE TERMS AND CONDITIONS.

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 certificate described herein.

- 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.

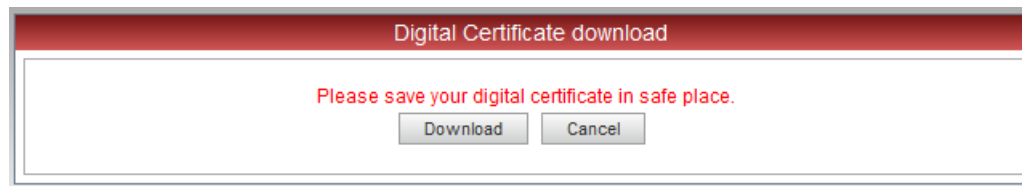


materials supplied by a third party (other than where such circumstances arise due to lack of reasonable planning), war or natural emergency, accident, epidemic, fire or riot. Force Majeure shall

☐ I accept the terms and conditions.
Scroll to bottom of the agreement to activate check box.

Submit Cancel

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

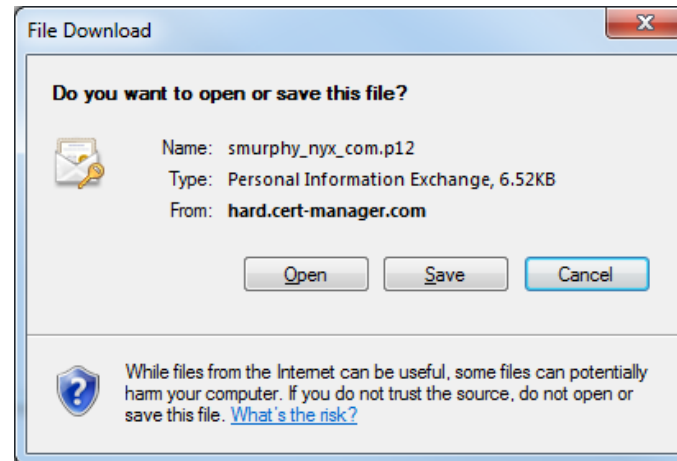


Digital Certificate download

Please save your digital certificate in safe place.

Download Cancel

- 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.

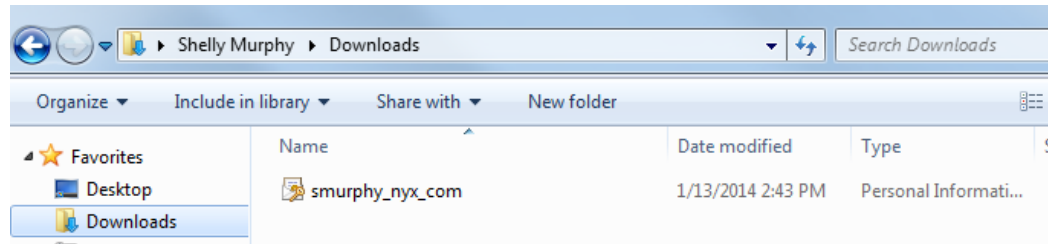


- **Install certificate into Browser**

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

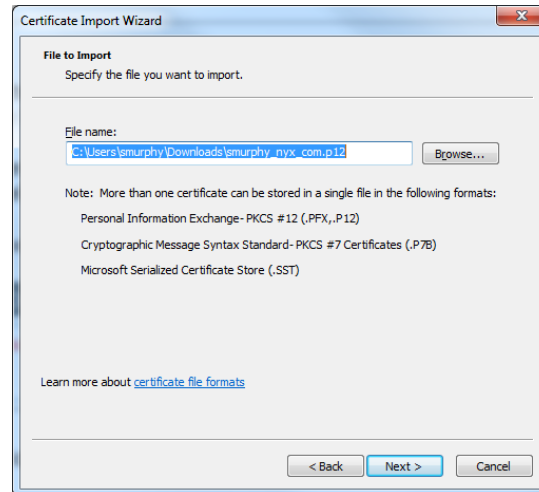
1. Locate the Digital Certificate you downloaded and double-click the filename.



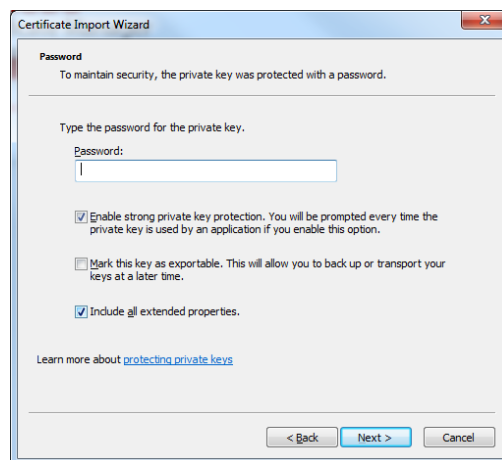
2. This will initiate the Certificate Import Wizard. Click "Next"



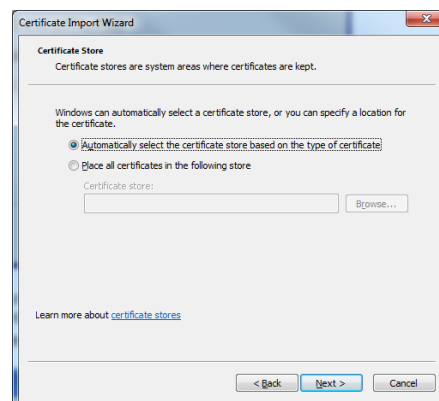
3. A pop-up screen requesting you specify the file to import will appear and will already contain the name of the certificate. Click "Next" to continue.



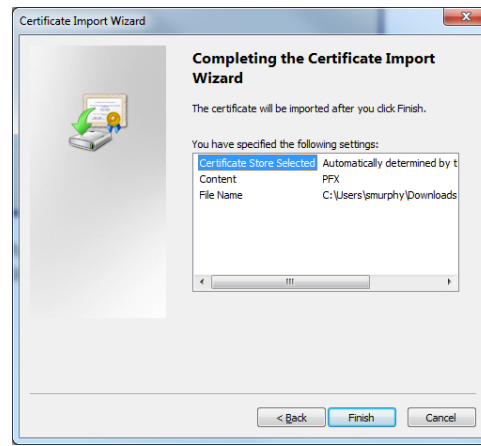
4. You will be requested to type in your password for the private key. **The password is the PIN** you defined when you initially downloaded the certificate. Leave the default tick boxes checked. If you plan to use this product at multiple workstations, click the box "Mark this key as exportable". This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



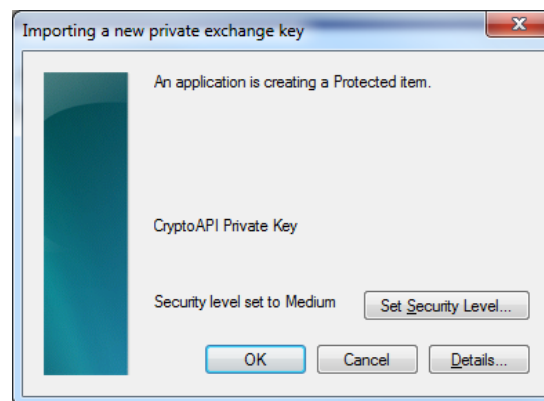
5. Allow the system to select where to store the certificate by keeping the default selection “Automatically select the certificate store based on the type of certificate”. Click “Next”.



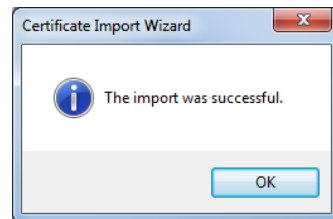
6. On the Completing the Certificate Import Wizard screen, click “Finish”.



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

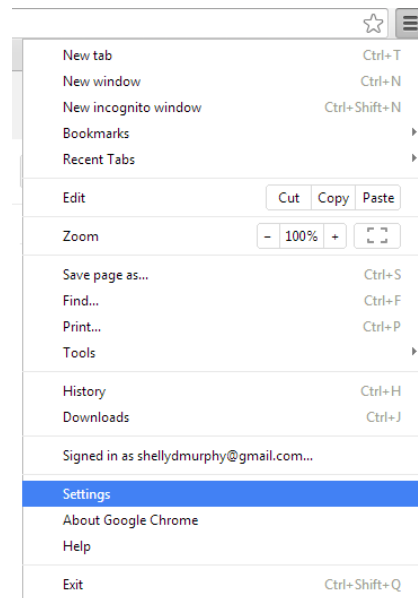


8. Click “OK”. Installation is complete!

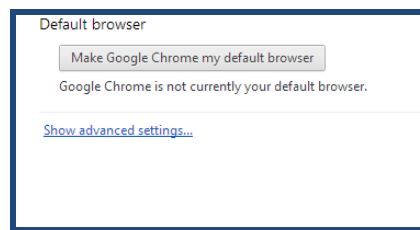


Chrome

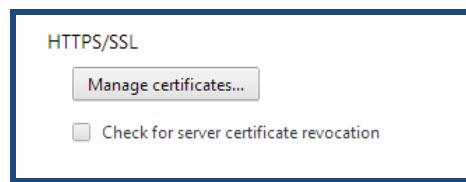
1. Launch Chrome. Click on Settings.



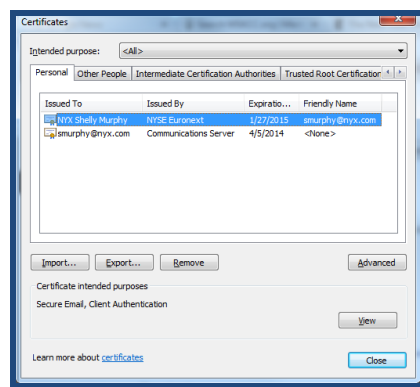
2. Click on Show Advanced Settings...



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



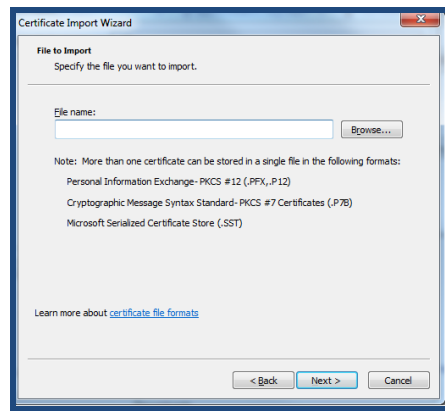
4. Chrome populates the available certificates. Click on the correct certificate for access to the NYSE related product and click the Import... button.



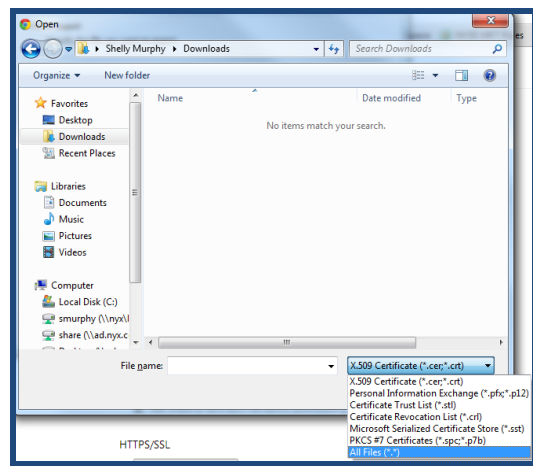
5. This action will initiate the Certificate Import Wizard. Click “Next”.



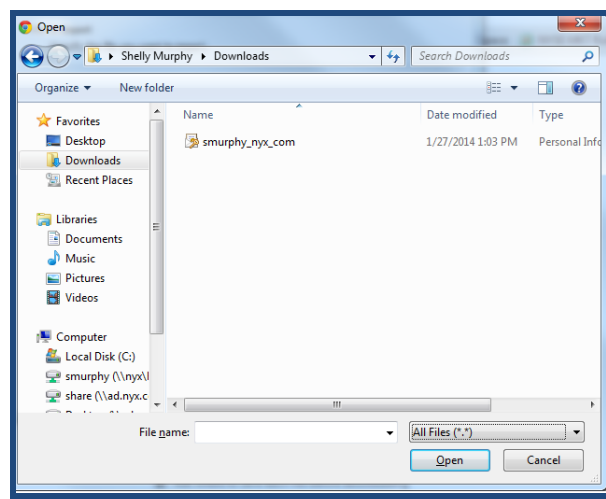
6. A pop-up screen requesting you specify the file to import. You will need to Browse to the location you saved the certificate.



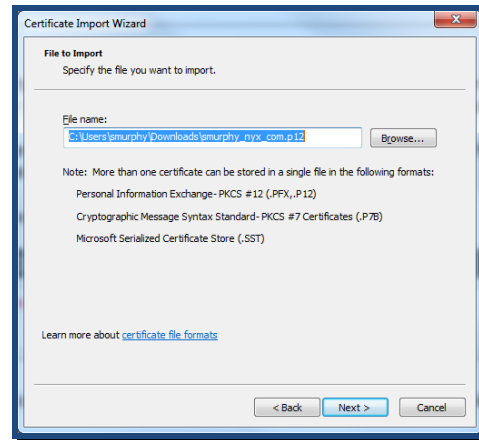
7. The file type for the Comodo type is not the default type. Click on the filename drop down menu and choose All Files (*.*)).



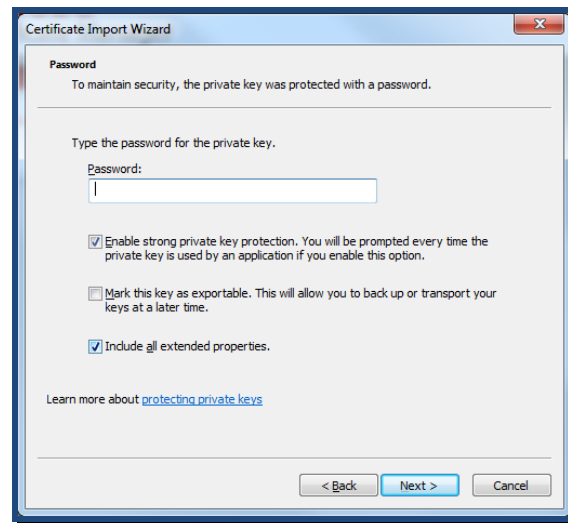
8. Your Comodo certificate should appear on the screen. Choose the certificate and click Open.



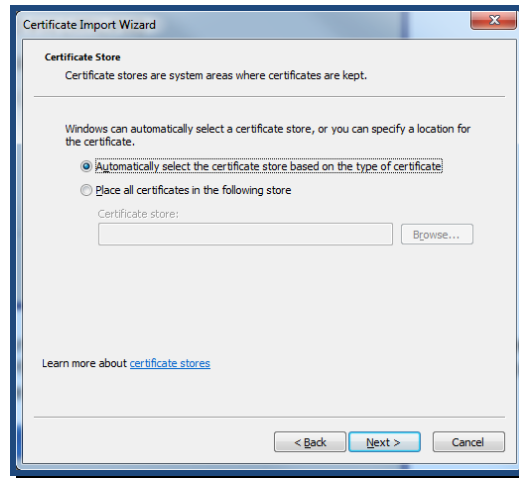
9. A pop-up screen requesting you specify the file to import will appear and will already contain the name of the certificate. Click “Next” to continue.



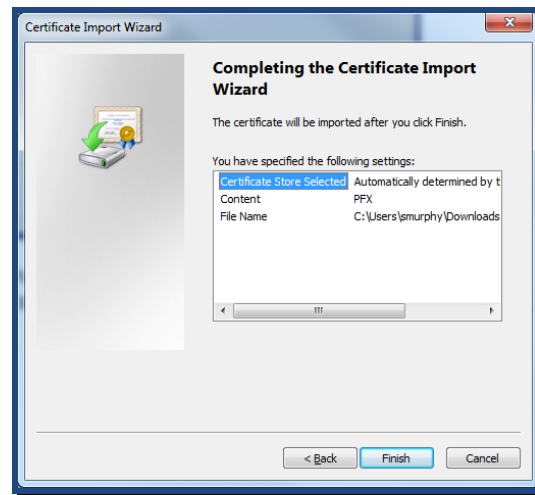
10. You will be requested to type in your password for the private key. The password is the PIN you defined when you initially downloaded the certificate. Leave the default tick boxes checked. If you plan to use this product at multiple workstations, click the box “Mark this key as exportable”. This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



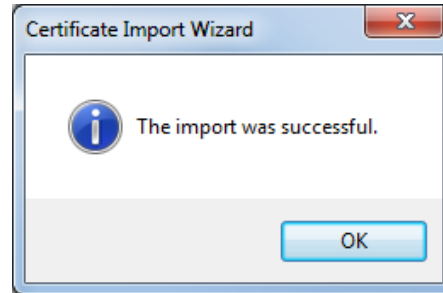
12. On the Completing the Certificate Import Wizard screen, click “Finish”.



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



14. Click “OK”. Installation is complete!

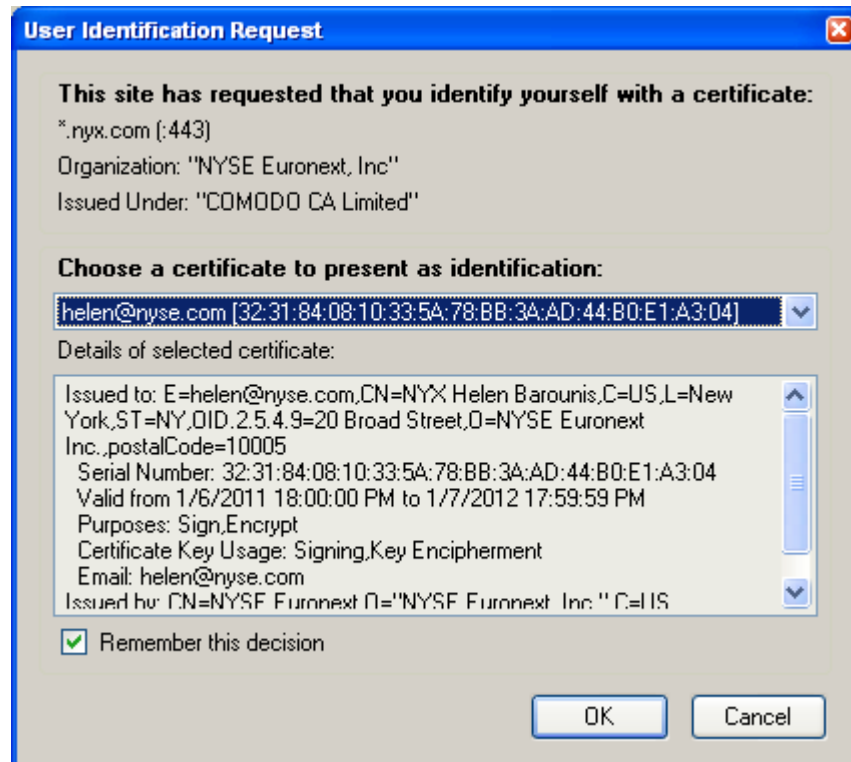


V. Client Management Tool

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

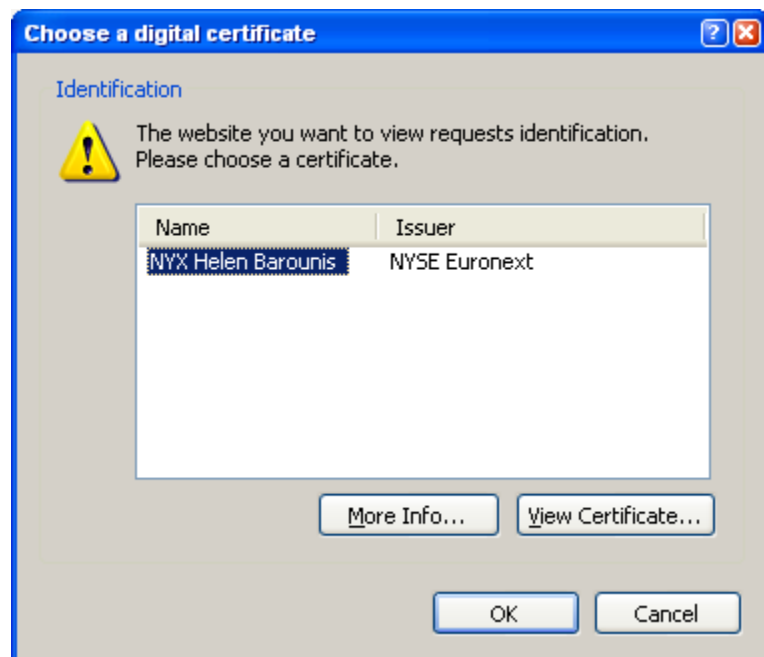
The FIRST time you log in to the site, you may encounter messages affirming your security certificate; simply click “OK” to continue on to the CMT login screen. Affirmation screens may look like the following:

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 cmttool.nyx.com.

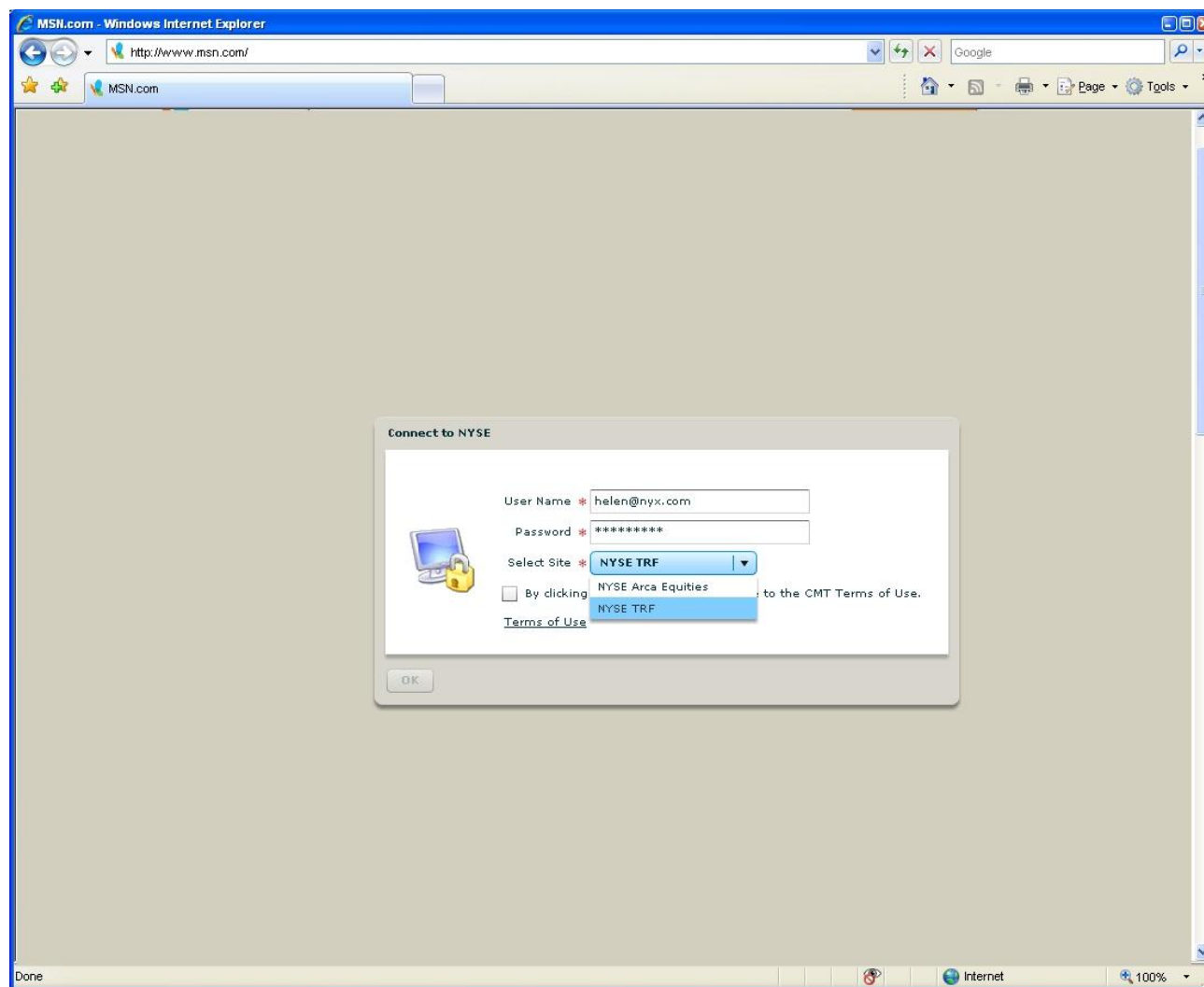
SSL peer was unable to negotiate an acceptable set of security parameters.

(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.



[illegible]

Filter reports for any combination of categories.

A. Report Fields

The screenshot displays a web form for filtering reports. It includes the following fields and labels:

- Rep Firm:** A text input field containing "ABCD". Below it is the label "Your 4-Letter FINRA/NYSE TRF MPID".
- Clr Firm:** A text input field containing "0627" with a dropdown arrow. Below it is the label "Your 4-Digit Clearing Number (Clearing Role only)".
- Status:** A dropdown menu with the label "Status" above it. The menu is open, showing options: "Any", "Fill", "Bust", "Adj", and "All Revisions Submitted". Below it is the label "Status reports based on current status."
- Branch Seq:** A text input field containing "OATS12345". Below it is the label "OATS id".
- Contra Branch Seq:** An empty text input field. Below it is the label "Contra OATS id".

Trade Report Class ▼

- As-Of
- Reversal
- Standard

Search for special report classes.

Tape ▼

- Yes
- No
- NASDAQ
- NYSE
- AMEX

Filter Publish Indicator

Short Sale ▼

- Contra Short
- Contra Short Exe
- Dealer Short
- Dealer Short Exe
- Selling Short

Short Sale Reasons

Exec Time 09 : 30 : 00 to 15 : 59 : 59 **Report Time** 00 : 00 : 00 to 23 : 59 : 59

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

Symbol ABC **Price** 25.35 **Volume** 95000 **Side** Buy ▼

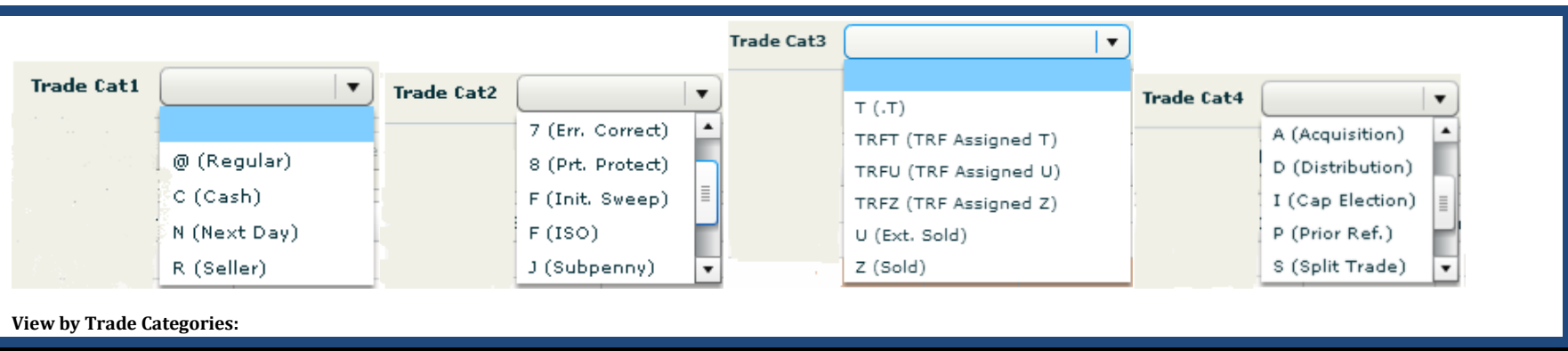
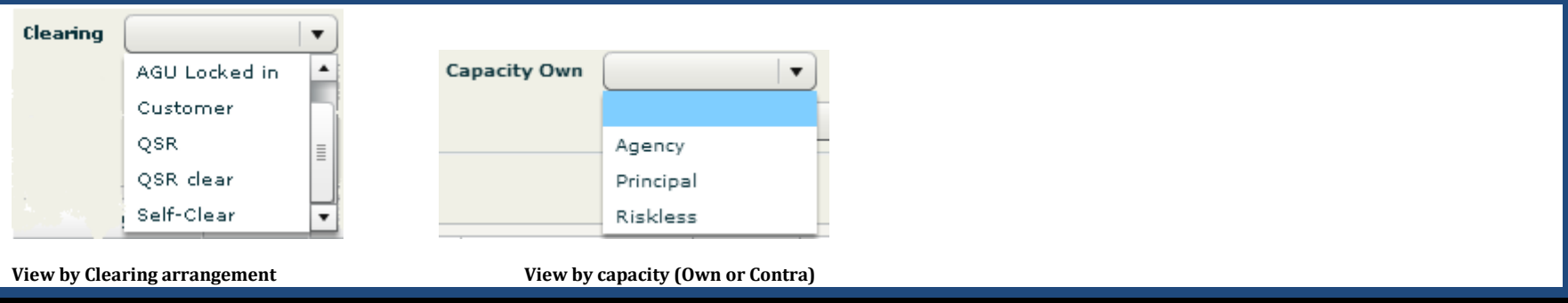
Search by basic report details.

OnBehalf NYSETRF-N

View reports by your TRF FIX connection ID

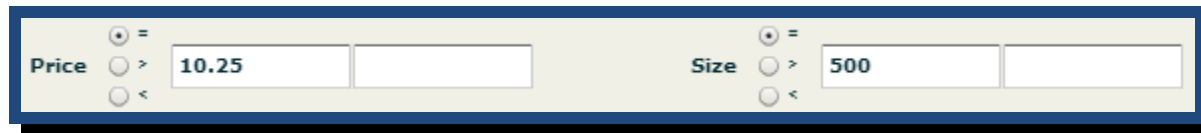
Contra DEFG

Find reports by specific contra parties



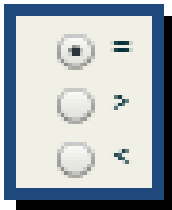
B. Size and Price Filtering

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



The screenshot shows two filter sections: 'Price' and 'Size'. Each section has three radio buttons for selection: '=' (selected), '>', and '<'. The 'Price' section has a text input field containing '10.25' and an empty adjacent field. The 'Size' section has a text input field containing '500' and an empty adjacent field.

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



A close-up of the function selection controls, showing three vertically stacked radio buttons. The top button, labeled '=', is selected. The middle button is labeled '>' and the bottom button is labeled '<'. Both the middle and bottom buttons are grayed out.

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 screenshot shows the 'Size' filter section. The '=' radio button is selected and grayed out. The '>' and '<' radio buttons are also grayed out. The first text input field contains '100' and the second text input field contains '500'.

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)

C. Reports Grid

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

<input type="checkbox"/> 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

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	850913841S		QSR	0501	0501	Agency	Agency		@ (Regular)				
FJA06053851932643	1386988253S		QSR	0501	0501	Agency	Agency		@ (Regular)				

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

Page 1
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

	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					

	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.

Client Management Tool - TRF

Log Off Change Password...

TRF

Reports (Current Day) EOD Trade Report Chronicles As-Of Repairs/Reversals TRF Rejected Reports FINRA Rejected Reports Create Report Bulk Bust Summary Dashboard Metrics

Create Report

Trade Info

Report Class Side Short Sale Reason Tape

Symbol Size Price Price Override

Rep Firm Contra Execution Date 20130717 Execution Time (ET) 00:00:00

TT Exempt 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

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

Create Report

Trade Info

Report Class: As-Of
Symbol: XYZ
Rep Firm: ABCD
TT Exempt: Yes
Side: Buy
Size: 100
Contra: WXYZ
Short Sale Reason:
Price: 34.00
Execution Date: 20110725
Trade Type Cat 1: @ (Regular)
Tape: No
Price Override: No
Execution Time (ET): 12:00:00
Trade Type Cat 3:

Post Trade Info

Branch Seq: OATS 1234
Clearing Indicator: QSR clear
Contra Branch Seq:
Own Clearing #: 12345
Capacity Own: Agency
Capacity Contra: Agency
Contra Clearing #:

Submit Cancel/Clear 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:

Submit Cancel/Clear Show Additional

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

The screenshot shows a form titled "Additional Details" with the following fields and controls:

- Trade Type Cat 2: dropdown menu
- Trade Type Cat 4: dropdown menu
- Exec Firm: text input field
- Give Up Contra: text input field
- Settlement Date: date picker
- Seller Days: dropdown menu
- Buttons: Submit, Cancel/Clear, Hide Additional

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.

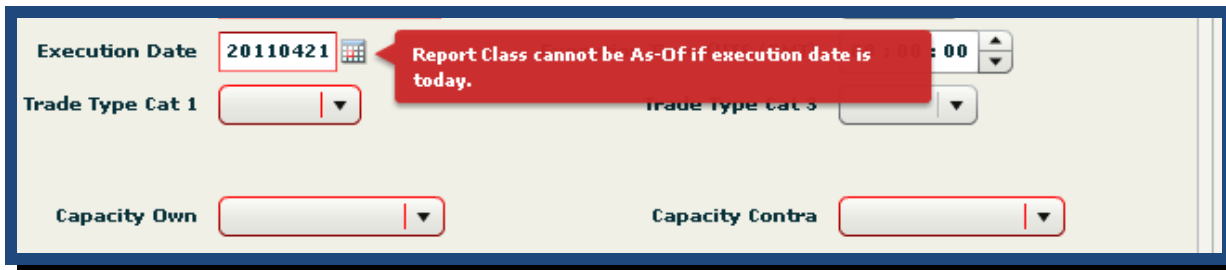
The screenshot shows the "Create Report" form with the following sections and fields:


- Trade Info**
 - Report Class: dropdown menu (set to "As-Of")
 - Side: dropdown menu
 - Short Sale Reason: dropdown menu
 - Tape: dropdown menu
 - Symbol: text input field
 - Size: text input field
 - Price: text input field
 - Price Override: dropdown menu
 - Rep Firm: dropdown menu
 - Contra: text input field
 - Execution Date: date picker (set to 20110421)
 - TT Exempt: dropdown menu
 - InterMarket Trade: dropdown menu
 - Trade Type Cat 1: dropdown menu
 - Trade type cat's: dropdown menu
- Post Trade Info**
 - Branch Seq: text input field
 - Contra Branch Seq: text input field
 - Capacity Own: dropdown menu
 - Capacity Contra: dropdown menu
 - Clearing Indicator: dropdown menu
 - Own Clearing #: text input field
- Buttons: Submit, Cancel/Clear, Show Additional



A red error message box is displayed over the Execution Date field, stating: "Report Class cannot be As-Of if execution date is today."





Submit Cancel/Clear Hide Additional



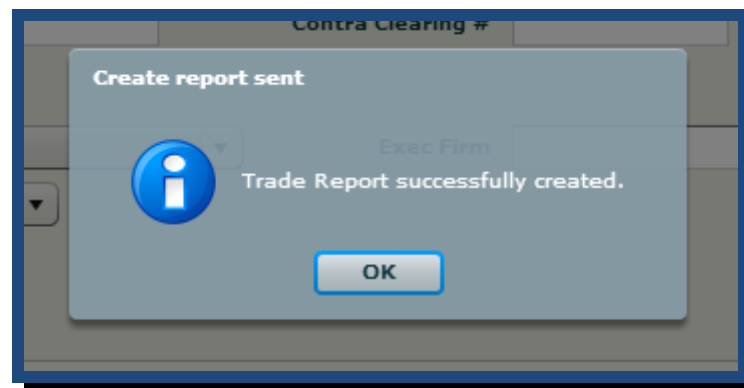
Execution Date 20110421  Report Class cannot be As-Of if execution date is today.

Trade Type Cat 1  Trade Type Cat 3 

Capacity Own  Capacity Contra 

C. Submission Confirmation

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



Contra Clearing #

Create report sent

Trade Report successfully created.

OK

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”

The screenshot displays the 'Client Management Tool - TRF' interface. At the top, there is a header bar with the NYSE Euronext logo and the title 'Client Management Tool - TRF'. Below the header, there is a navigation bar with tabs: '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 'TRF Rejected Reports' tab is currently selected.

Below the navigation bar, there is a search filter section with the following fields:

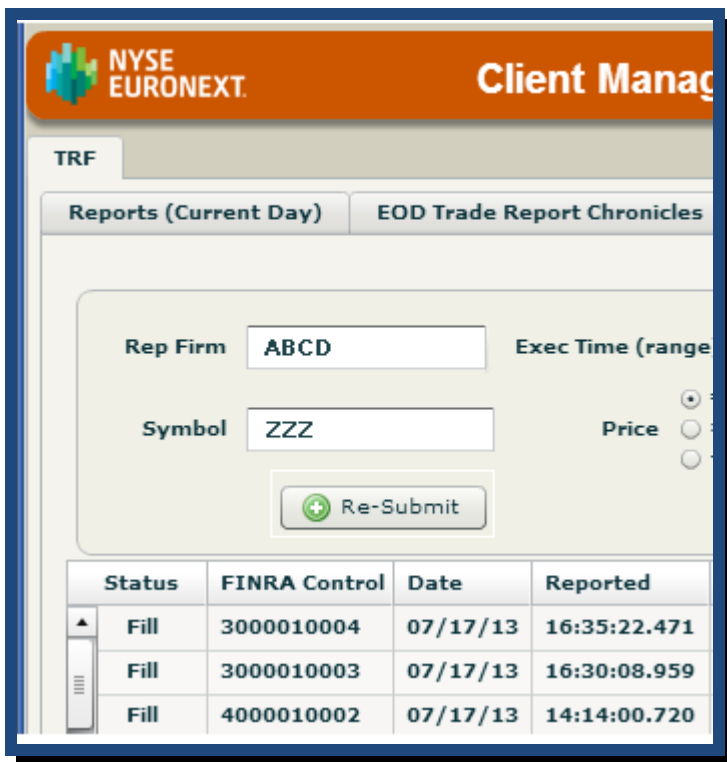
- Rep Firm: ABCD
- Exec Time (range): 00 : 00 : 00 to 23 : 59 : 59
- Contra:
- Symbol: ZZZ
- Price: ☐ = ☐ > ☐ <
- Size: ☐ = ☐ > ☐ < 1 100

Below the search filters, there are three buttons: 'Re-Submit', 'Clear', and 'Search'.

Below the buttons, there is a table with the following columns: Status, FINRA Control, Date, Reported, ExecTime, Branch Seq, OnBehalfOf, Symbol, Side, Short, Size, Price, Tape, Reporting, Contra, and Reject Reason.

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:



NYSE Euronext Client Manager

TRF

Reports (Current Day) EOD Trade Report Chronicles

Rep Firm: ABCD Exec Time (range)

Symbol: ZZZ Price

Re-Submit

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 #					

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.

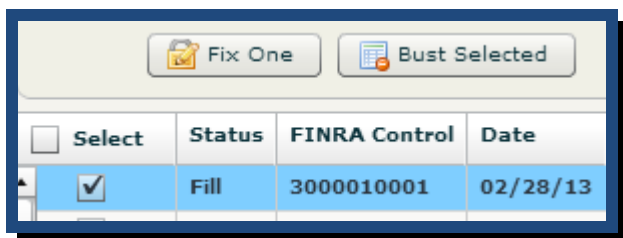
Rep Firm	<input type="text"/>	Exec Time (range)	<input type="text" value="00 : 00 : 00"/> to <input type="text" value="23 : 59 : 59"/>	Contra	<input type="text"/>
Symbol	<input type="text"/>	Price	<input type="text"/>	Volume	<input type="text"/>
<input type="button" value="Clear"/> <input type="button" value="Search"/>					

Date	ReportTime	ExecTime	BrSeq	OnBehalfOf	Symbol	Volume	Price	CIOrderID	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
	15:04:36.58046		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	OnBehal
<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	3000000000	02/28/13	12:07:04.704	15:59:53.000	Standard	ZZZ	Sell		100	12.505	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”).

Modify Report

Trade Info

Symbol: ZZZ Original Shares: 100 Original Price: 11.70

Original Contra: WXYZ Original Clearing Indicator: QSR Original Capacity Own: Agency

Original Capacity Contra: Agency Original Short Sale Reason: Side: Sell

Branch Seq: 1111111111 On Behalf Of: NYSETRF-N CI Order ID: ZMT42863851932642

Time: 15:59:53.000

Update

Shares: 100 Price: 12.70

Contra: WXYZ Clearing Indicator: QSR

Execution Date: 02/28/13 Execution Time: 15:59:53

Capacity Own: Agency Capacity Contra: Agency

Short Sale Reason: Side: Sell

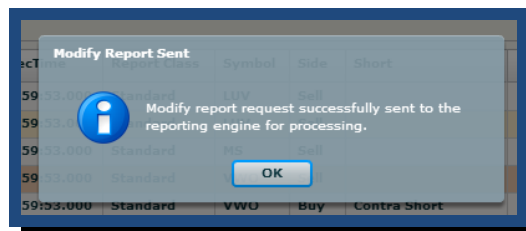
Trade Type Cat 1: @ (Regular) Trade Type Cat 2:

Trade Type Cat 3: Trade Type Cat 4:

Settlement Date: Seller Days:

Submit Cancel

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.

<input type="checkbox"/> 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”

<input type="checkbox"/> 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*****

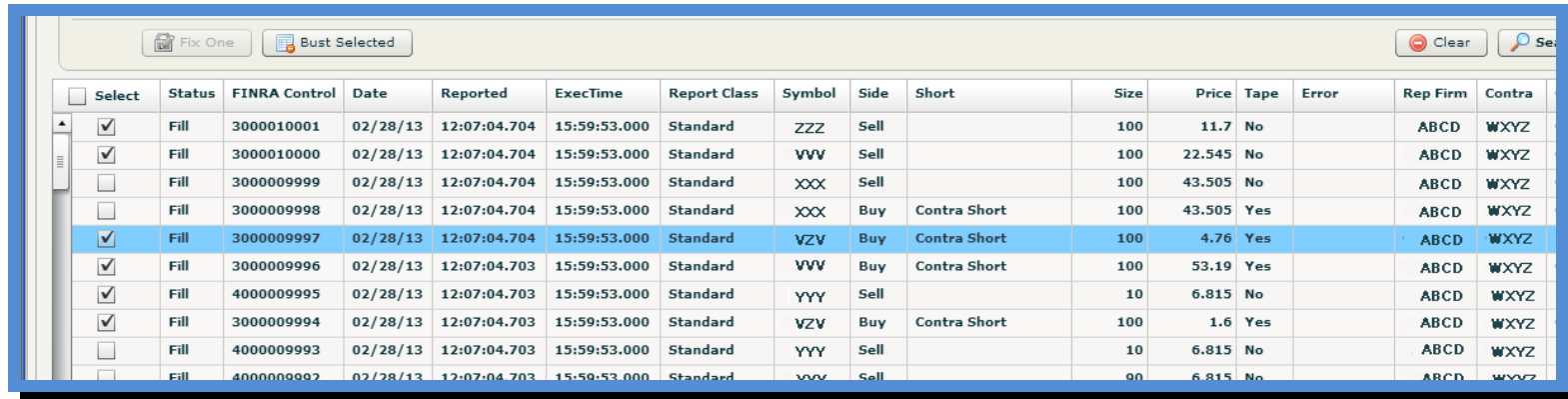
Modified Report Behavior

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 Cats 1-4
QSR/Customer/Self												
Tape	Audit	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/
		New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report
		Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/
		New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report
QSR N												
Tape	Audit	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/
		New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report
		Reversal /	Reversal /	Reversal /	Reversal /	Reversal /	Reversal /	Reversal /	Reversal /	Reversal /	Reversal /	Reversal /
		New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report
Tape	Audit	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/
		New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report
		AGU Lock-In										
Tape	Audit	Break /	Break /	Break /	Break /	Break /	Break /	Break /	Break /	Break /	Break /	Break /
		New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report
		Reversal/	Reversal	Reversal	Reversal	Reversal	Reversal	Reversal	Reversal	Reversal	Reversal	Reversal
		New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report
Tape	Audit	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/	Cancel/
		New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report	New Report
		As Of Result										
QSR/Customer/Self												
Tape	Audit	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/
		As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report
		Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/
		As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report
QSR N												
Tape	Audit	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/
		As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report
		Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/
		As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report
Tape	Audit	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/
		As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report
		Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/
		As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report
AGU Lock-In												
Tape	Audit	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/
		As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report
		Reversal/	Reversal	Reversal	Reversal	Reversal	Reversal	Reversal	Reversal	Reversal	Reversal	Reversal
		As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report
Tape	Audit	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/
		As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report
		Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/	Reversal/
		As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report	As-Of Report

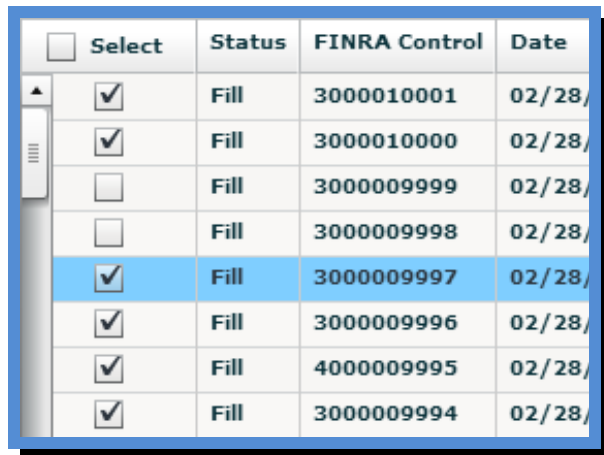
XI. Busting Reports

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”.



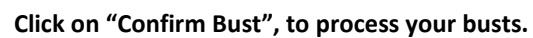
The screenshot shows a software interface with a table of trade reports. At the top, there are buttons for 'Fix One' and 'Bust Selected', and a 'Clear' button. The table has columns: Select, Status, FINRA Control, Date, Reported, ExecTime, Report Class, Symbol, Side, Short, Size, Price, Tape, Error, Rep Firm, and Contra. The 'Select' column contains checkboxes. The 'Bust Selected' button is highlighted.

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	YYY	Sell		10	6.815	No		ABCD	WXYZ

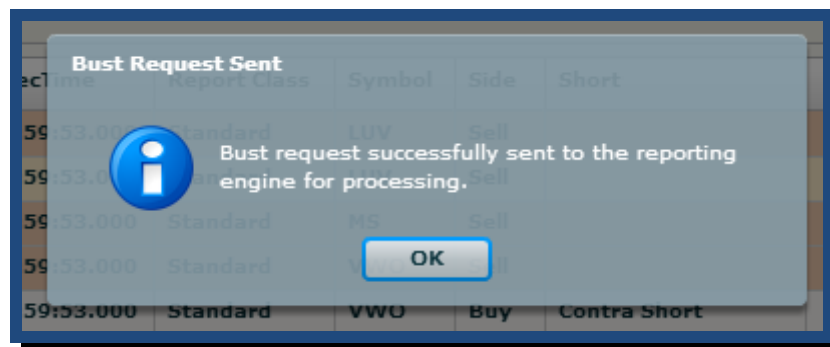


The screenshot shows a zoomed-in view of the 'Select' column and the first few rows of the table. The 'Select' column contains checkboxes. The 'Bust Selected' button is highlighted.

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



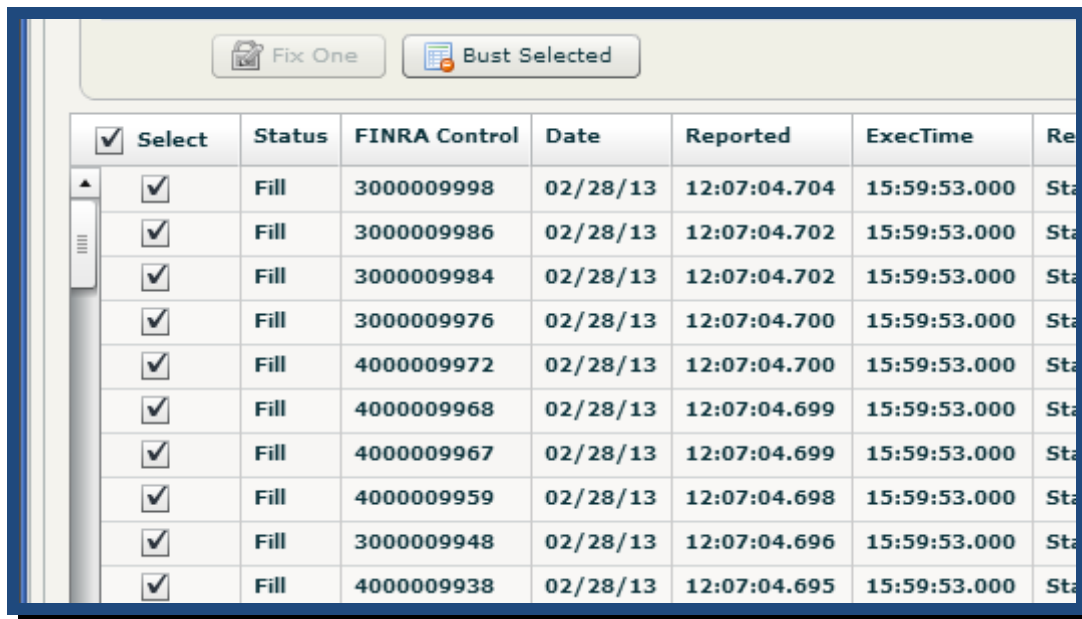
Upon successful submission, the following window will pop-up:



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

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

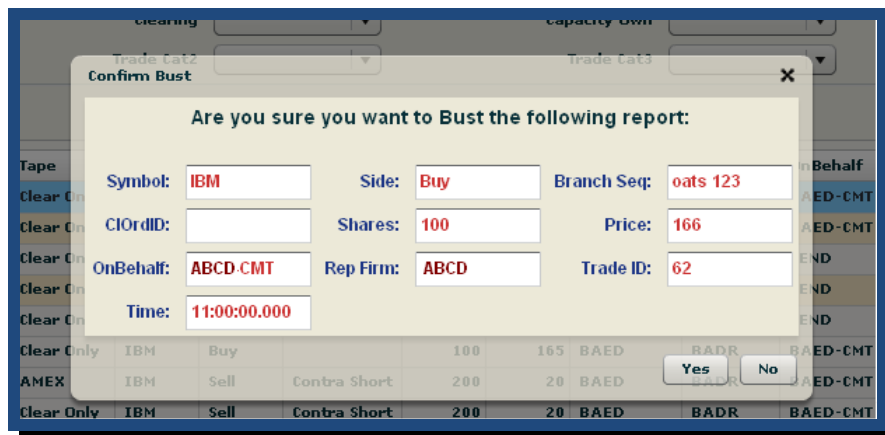
Clicking on the checkbox adjacent to “Select” will checkbox all of the orders on the page (up to 100); A pop-up confirmation will appear after clicking “Bust Selected”.



<input checked="" type="checkbox"/> 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:

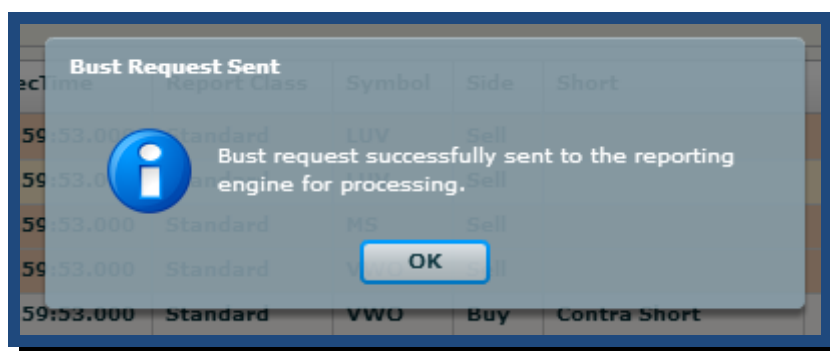


A screenshot of a 'Confirm Bust' dialog box. The dialog box has a title bar 'Confirm Bust' with a close button. The main text asks 'Are you sure you want to Bust the following report:'. Below this, there are several input fields with pre-filled values: Symbol: IBM, Side: Buy, Branch Seq: oats 123, ClOrdID: (empty), Shares: 100, Price: 166, OnBehalf: ABCD-CMT, Rep Firm: ABCD, Trade ID: 62, and Time: 11:00:00.000. At the bottom right, there are 'Yes' and 'No' buttons. The background shows a table with trade data.

Clear Only	Symbol	Side	Contr	Short	100	165	BAED	BADR	BAED-CMT
AMEX	IBM	Sell	Contra	Short	200	20	BAED	BADR	BAED-CMT
Clear Only	IBM	Sell	Contra	Short	200	20	BAED	BADR	BAED-CMT

Click "Yes" to proceed.

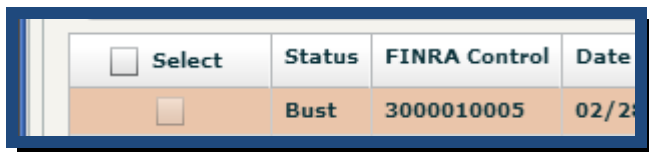
A confirmation pop up will follow:



A screenshot of a 'Bust Request Sent' dialog box. The dialog box has a title bar 'Bust Request Sent'. It features a blue information icon on the left. The main text says 'Bust request successfully sent to the reporting engine for processing.' At the bottom, there is an 'OK' button. The background shows a table with trade data.

ecTime	Report Class	Symbol	Side	Short
59:53.000	Standard	IBM	Sell	
59:53.000	Standard	IBM	Sell	
59:53.000	Standard	MS	Sell	
59:53.000	Standard			
59:53.000	Standard	VWO	Buy	Contra Short

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



<input type="checkbox"/> Select	Status	FINRA Control	Date
<input type="checkbox"/>	Bust	3000010005	02/24

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:

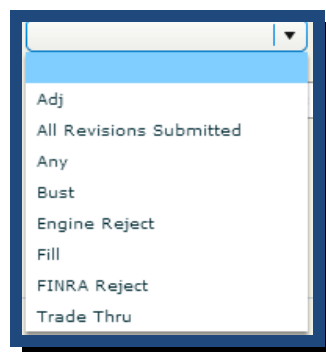
1. Full Name
2. Firm Name
3. Title
4. Phone Number
5. E-mail Address
6. Explanation of Circumstances for Request

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

NYSE Euronext Client Management Tool - TRF

TRF

Reports (Current Day) As-Of Repairs/Reversals TRF Rejected Reports FINRA Rejected Reports Create Report Bulk Bust Summary Dashboard

Exec Date: 20110817 Rep Firm: ABCD Branch Seq: Symbol: Price: Contra Branch Seq: Side: Tape: Yes Short Sale: Contra: Trade Report Class: As-Of Volume: Clearing: Capacity Own: Capacity Contra: Trade Cat1: @ (Regular) Trade Cat2: Trade Cat3: Trade Cat4:

Fix Selected Reverse Selected Clear Search

Date	Reported	Executed	Tape	Symbol	Side	Short	Size	Price	Rep Firm	Contra	OnBehalf	Sender	Order
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”

A screenshot of a software dialog box titled "Confirm As Of Reversal". The dialog box has a light beige background and a dark blue border. At the top right, there are standard window controls (minimize, maximize, close). The main text inside the dialog asks, "Are you sure you want to Send in the As of Reversal for the following report:". Below this text, there are several input fields arranged in a grid. The fields are labeled: Symbol, Side, Branch Seq, ClOrdID, Shares, Price, OnBehalf, Rep Firm, Contra, Trade ID, and Time. Each field contains a value in red text. At the bottom right of the dialog, there are two buttons: "Yes" and "No".

Field	Value
Symbol	XYZ
Side	Buy
Branch Seq	Q20110818
ClOrdID	344
Shares	100
Price	30.000000
OnBehalf	TRFTEST
Rep Firm	ABCD
Contra	DEFG
Trade ID	TA110818000003d-0001
Time	20110817-12:33:17

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

Rep Firm: ABCD Status: Any
Symbol: Price:
Report Class: Reversal Tape: No
Exec Time: 00:00:00 to 23:59:59 Report Time: 00:00:00 to 23:59:59
Contra: Clearing:
Trade Cat1: Trade Cat2:

Fix Selected Bust Selected

Status	Date	Reported	Executed	Tape	Symbol	Side	Short	Size
Fill	08/17/11	19:14:16.050	12:33:17.000	No	XYZ	Buy		100
Fill	08/17/11	16:06:25.682	12:33:04.000	No	XYZ	Sell		100
Fill	08/17/11	15:23:43.810	09:30:00.000	No	XYZ	Sell		100
Fill	08/17/11	15:21:21.079	09:30:00.000	No	XYZ	Sell		100

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

Report Time 00:00:00 to 23:59:59 Side

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

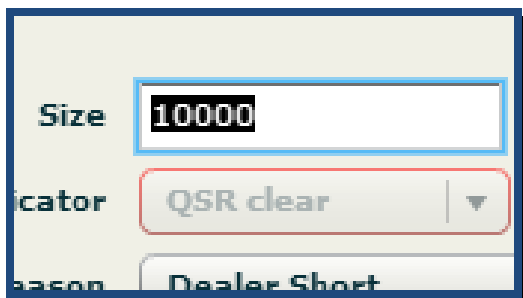
Execution Date 20130717 Execution Time 11:17:32 TT Exempt

Price Override No Exec Firm Give Up Contra

Settlement Date Seller Days

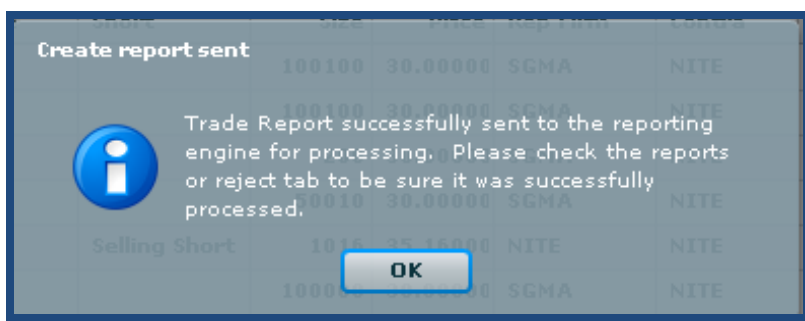
Submit Cancel/Clear Hide Additional

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



A screenshot of a web form. The 'Size' field is a text box containing '10000'. The 'Indicator' field is a dropdown menu with 'QSR clear' selected. The 'Reason' field is a dropdown menu with 'Dealer Short' selected.

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	Branch Seq	<input type="text"/>	Contra Bra	
Symbol	<input type="text"/>	Price	<input type="text"/>	Volume	<input type="text"/>		
Report Class	<input type="text"/>	Tape	<input type="text"/>	Price Override	<input type="text"/>	Sh	
Exec Time	00 : 00 : 00	to	23 : 59 : 59	Report Time	00 : 00 : 00	to	23 : 59 : 59
Contra	<input type="text"/>	Clearing	<input type="text"/>	OnBehalf	<input type="text"/>	Repor	
Trade Cat1	<input type="text"/>	Trade Cat2	<input type="text"/>	Capacity Own	<input type="text"/>	Capacity	
Trade Cat3	<input type="text"/>	Trade Cat3	<input type="text"/>	Trade Cat3	<input type="text"/>	Trade	

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 Select Date Files to Download (5)

ABCD Report Date 20121025 1 of 5 Export to Excel

Clear Create Report

Total Records: (1061024)

Files to Download (5)

1 of 5 2 of 5 3 of 5 4 of 5 5 of 5

Export to Excel

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.

The screenshot displays the NYSE Euronext Client Management Tool - TRF interface. The main header is orange with the text "NYSE Euronext Client Management Tool - TRF". Below the header, there is a tabbed interface with the following tabs: "TRF", "Reports (Current Day)", "EOD Trade Report Chronicles", "As-Of Repairs/Reversals", "TRF Rejected Reports", and "FINRA Rejected Reports". The "TRF" tab is selected. Under the "TRF" tab, there are two sub-tabs: "Reporting Party Trade Journal" and "Contra Party Trade Journal". The "Contra Party Trade Journal" tab is selected. The main content area is divided into three sections: "Contra Firm", "Select Date", and "Files to Download (1)". The "Contra Firm" section has a text input field containing "XXXX". The "Select Date" section has a "Report Date" label and a date input field containing "20121031" with a calendar icon. The "Files to Download (1)" section has a "1 of 1" dropdown menu and an "Export to Excel" button. At the bottom left, there are "Clear" and "Create Report" buttons. At the bottom right, it says "Total Records: (31857)".

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:

The screenshot displays the 'Client Management Tool - TRF' interface. At the top, there's a header with the NYSE Euronext logo and navigation links like 'Log Off' and 'Change Password...'. Below the header, a tabbed menu includes '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:

- Rep Firm, Clr Firm, Select Date:** Fields for 'ABCD', a date '20130528', and a 'Refresh' button.
- Trade Modifiers for ABCD:** A table listing various modifiers and their counts.
- Published for ABCD:** A table showing trade report details for the current and previous days.
- Clearing for ABCD:** A table showing clearing details for the current and previous days.
- Possible Trade Thru for ABCD:** A summary of current and previous day trade thru counts.
- Riskless Principal for ABCD:** A table showing riskless principal details.
- All Revisions Submitted Today:** A status message.

Trade Modifiers for ABCD Table:

Modifier	Count
@ (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)	
TRF Assigned .W	

Published for ABCD - Current Date Table:

Type	Tape	Non-Tape
Bust	3	-
Trade Report	109572	109553
As Of	-	-
Reversal	-	-
Correction	-	-

Clearing for ABCD - Current Date Table:

Type	QSR	Self-Clear	Customer	AGU Locked In	QSR Clear
Bust	-	-	-	3	-
Trade Report	200718	-	18390	17	-
As Of	-	-	-	-	-
Reversal	-	-	-	-	-
Correction	-	-	-	-	-

Possible Trade Thru for ABCD:

Current Day: 122
Previous Day:
Current Day (Not TT Exempt): 122
Previous Day (Not TT Exempt):

Riskless Principal for ABCD Table:

Type	Count
Trade Report	1
As Of	
Reversal	
Bust	
Correction	

A closer look at the categories:

Trade Modifiers for ABCD	
Modifier	Count
@ (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)	
PA (Dollar-related)	

Published for ABCD		
Current Date		
Type	Tape	Non-Tape
Bust	172	50
Correction	105	
Trade Report	156	
Previous Day for ABCD		
Type	Tape	Non-Tape
Bust	16	13
Correction	7	
Reversal	80	
Trade Report	9	

Riskless Principal for ABCD	
Type	count
Trade Report	150
Bust	50
Correction	10
Reversal	150
As Of	150

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	41	32	30	90	29
Correction	32	30	43		
Trade Report	53	32	32	32	7
Previous Day					
Type	QSR	Self-Clear	Customer	AGU Locked In	QSR Clear
Bust	6		1	20	2
Correction		2	5		
Reversal				48	32
Trade Report	9				

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

NYSE Euronext Client Management Tool - TRF

Log Off Change Password...

TRF

Reports (Current Day) EOD Trade Report Chronicles As-Of Repairs/Reversals TRF Rejected Reports FINRA Rejected Reports Create Report Bulk Bust Summary Dashboard Metrics

Rep Firm Ctr Firm Select Date

ABCD 20130529 Refresh

Contra Report for ABCD

Contra	Count	Volume
ARUS	44	434400
BAYI	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
FRCQ	62706	15054736
GATE	26	542572
GOTO	1494	549600
GSAA	240	39400
GSCC	12	1200
GSCQ	35680	7382800

Export to Excel

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

Export to Excel

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									

Export to Excel Search Symbol LU/LD History

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

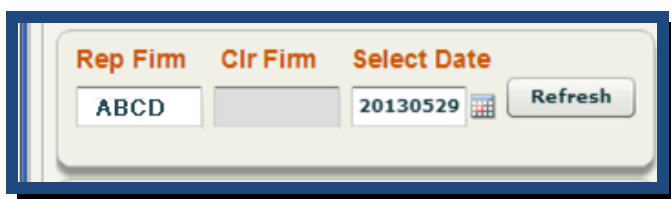
Fix SSRs

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 moniot, and Limit Up Limit Down monitor.

B. Date Selection

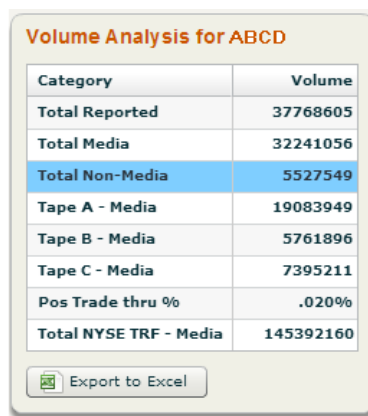
The “Metrics” tab is visible for individual trading days, with 6 months of history and exportable to Excel.

A screenshot of a web application interface. It features three input fields at the top: 'Rep Firm' with the text 'ABCD', 'Clr Firm' which is empty, and 'Select Date' with the date '20130529'. To the right of the 'Select Date' field is a small calendar icon. A 'Refresh' button is located to the right of the calendar icon. The entire form is enclosed in a light gray border with a slight shadow.

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.



A screenshot of a web application window titled "Volume Analysis for ABCD". It contains a table with two columns: "Category" and "Volume". The table lists various volume metrics, with "Total Non-Media" highlighted in blue. Below the table is an "Export to Excel" button with a small icon.

Category	Volume
Total Reported	37768605
Total Media	32241056
Total Non-Media	5527549
Tape A - Media	19083949
Tape B - Media	5761896
Tape C - Media	7395211
Pos Trade thru %	.020%
Total NYSE TRF - Media	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

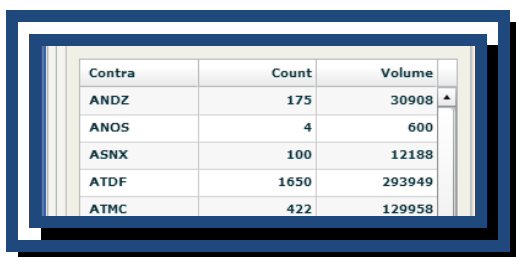
Tape C - Media = Total Media Shares in Tape C symbols, by MPID or Clearing ID

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

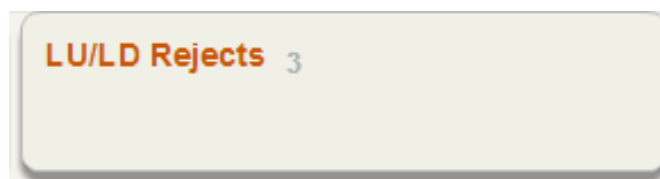
The SSR Monitor features a clickable counter of all “Media” reports which are possibly in violation of Sell Short Restrictions (SSR) in various symbols.



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.

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									

Export to Excel Search Symbol LU/LD History

A screenshot of a web application window titled "SSR" in orange text. The window contains a table with three columns: "Symbol ▲", "SSR Trigger", and "SSR Exp". The table has eight rows of data. Below the table, there is a button labeled "Export to Excel" with a green Excel icon, and a "Search" label followed by a text input field.

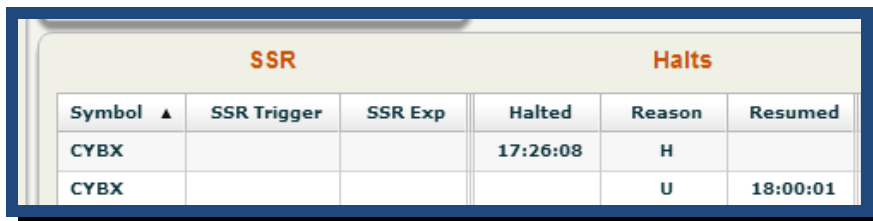
Symbol ▲	SSR Trigger	SSR Exp
ABIO	13:04:59	
ADEP		20:00:00
ALVR	11:00:20	
AMBO		
AMCF	15:50:14	
ANCB		20:00:00
ANCI	11:13:29	

Export to Excel 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

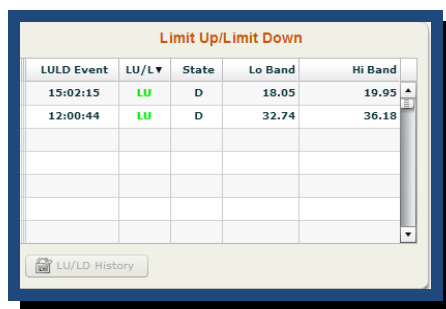
K = LULD Halt

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	LU/L	State	Lo Band	Hi Band
15:02:15	LU	D	18.05	19.95
12:00:44	LU	D	32.74	36.18

LU/LD History

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)

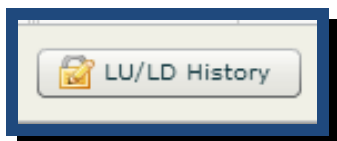
I = Bid Entered / Ask Exited (LU)

J = Bid Exited / Ask Entered (LD)

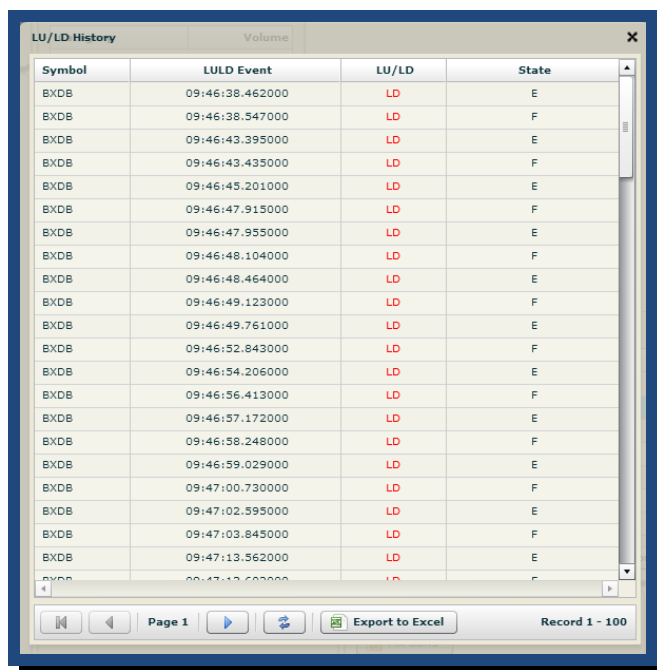
Lo Band – Lower band price at time of event

Hi Band – Upper band price at time of event.

Clicking on the color-coded LU or LD indicator will light up the LU/LD History button.



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 software window titled "LU/LD History". The window contains a table with four columns: "Symbol", "LU/LD Event", "LU/LD", and "State". The table lists multiple rows of data for the symbol "BXDB". The "LU/LD" column contains the text "LD" in red, and the "State" column contains the letter "E" or "F". The window has a standard Windows-style title bar and a footer with navigation buttons, a "Page 1" indicator, an "Export to Excel" button, and a "Record 1 - 100" indicator.

Symbol	LU/LD 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	09:47:13.600000	LD	F

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, BATSX, 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	☆	☆	☆