FINRA/NYSE TRF® Portal User Manual

May 23, 2025

Document Version 1.0

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1. Introduction

The FINRA/NYSE TRF Portal hosted on PRISM replaces the legacy CMT Platform providing a more streamlined and enhanced user experience.

Major changes included in the migration to NYSE TRF Portal include:

- Move from Certificate based application hosted on Adobe AIR by Harman to web-based application
- Streamlined bulk actions and file uploads
- Available 24/7 to allow firms to access and review their activity. Trade Management actions only available during normal TRF business hours which are Monday through Friday, 8:00 am - 8:00 pm ET

Section 2 - Application and Login Overview

- This section outlines the features in Prism that are consistent across all windows within the application. These universal tools are designed to support easy navigation and enhance your experience throughout the platform.

Section 3 - Trade Report Management

- Trade management functionality tabs
  - Trades
  - Rejected Trades
  - Transactions
  - Transactions History

2. TRF Portal Login Procedure

Please follow the link below to navigate the procedure to be followed for TRF Portal login setup.

https://www.nyse.com/publicdocs/nyse/FINRA_NYSE_TRF_Portal_Login_Procedure.pdf

3. General Application

When a user performs a login, they have the choice to navigate to **Trade Management** or **Firm Information** screen

Switching between **Trade Management** and **Firm Information** screens can be performed by clicking the three horizontal bars in the upper lefthand corner which will open the main menu from which the desired screen can be selected.

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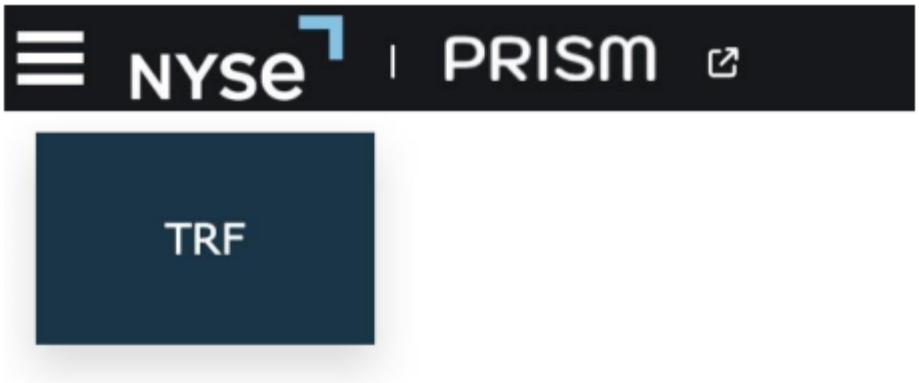

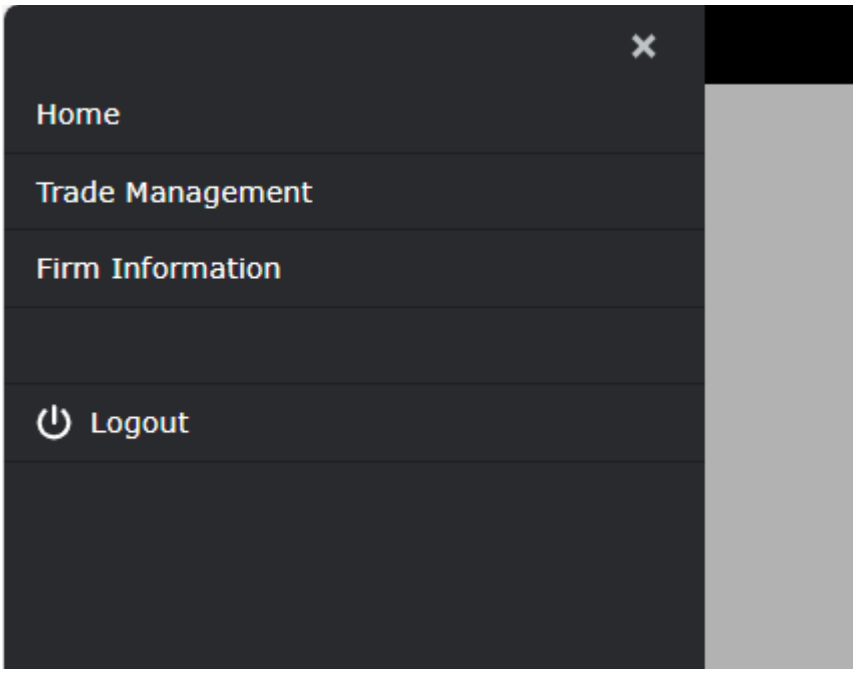

The screen layout displays the search filters on the top half with the results grid displayed on the bottom.

For example, the **Trade Management** is shown below:

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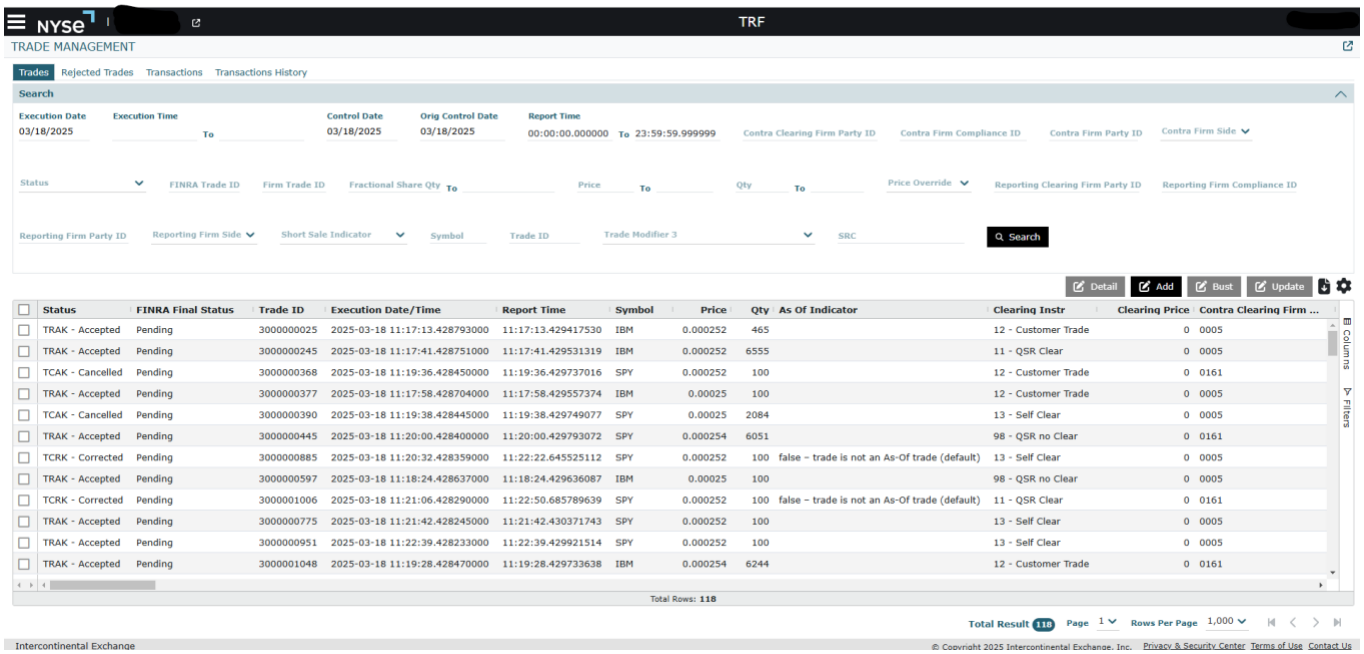
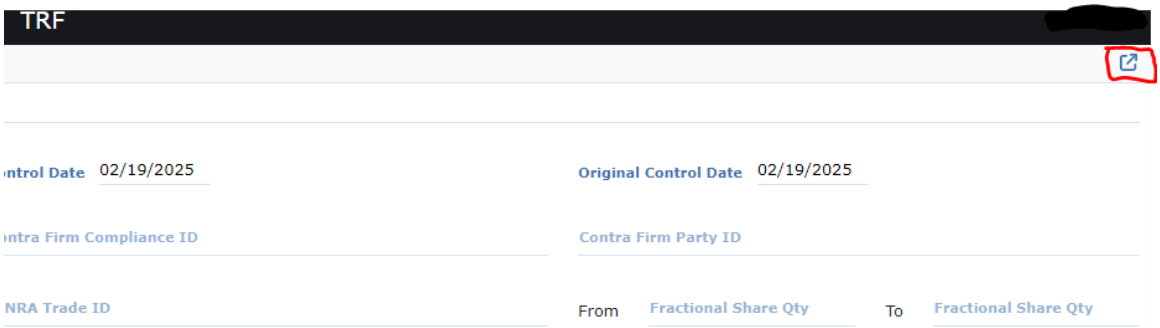


Status	FINRA Final Status	Trade ID	Execution Date/Time	Report Time	Symbol	Price	Qty	As Of Indicator	Clearing Instr	Clearing Price	Contra Clearing Firm ...
TRAK - Accepted	Pending	3000000025	2025-03-18 11:17:13.428793000	11:17:13.429417530	IBM	0.000252	465		12 - Customer Trade	0	0005
TRAK - Accepted	Pending	3000000245	2025-03-18 11:17:41.428751000	11:17:41.429531319	IBM	0.000252	6555		11 - QSR Clear	0	0005
TCAK - Cancelled	Pending	3000000368	2025-03-18 11:19:36.428450000	11:19:36.429737016	SPY	0.000252	100		12 - Customer Trade	0	0161
TRAK - Accepted	Pending	3000000377	2025-03-18 11:17:58.428704000	11:17:58.429557374	IBM	0.00025	100		12 - Customer Trade	0	0005
TCAK - Cancelled	Pending	3000000390	2025-03-18 11:19:38.428445000	11:19:38.429749077	SPY	0.00025	2084		13 - Self Clear	0	0005
TRAK - Accepted	Pending	3000000445	2025-03-18 11:20:00.428400000	11:20:00.429793072	SPY	0.000254	6051		98 - QSR no Clear	0	0161
TCRK - Corrected	Pending	3000000885	2025-03-18 11:20:32.428359000	11:22:22.645525112	SPY	0.000252	100	false - trade is not an As-Of trade (default)	13 - Self Clear	0	0005
TRAK - Accepted	Pending	3000000597	2025-03-18 11:18:24.428637000	11:18:24.429636087	IBM	0.00025	100		98 - QSR no Clear	0	0005
TCRK - Corrected	Pending	3000001006	2025-03-18 11:21:06.428290000	11:22:50.685789639	SPY	0.000252	100	false - trade is not an As-Of trade (default)	11 - QSR Clear	0	0161
TRAK - Accepted	Pending	3000000775	2025-03-18 11:21:42.428245000	11:21:42.430371743	SPY	0.000252	100		13 - Self Clear	0	0005
TRAK - Accepted	Pending	3000000951	2025-03-18 11:22:39.428233000	11:22:39.429921514	SPY	0.000252	100		13 - Self Clear	0	0005
TRAK - Accepted	Pending	3000001048	2025-03-18 11:19:28.428470000	11:19:28.429733638	IBM	0.000254	6244		12 - Customer Trade	0	0161

Within the **Trade Management** window, all line items will now be retained even after a log-out and subsequent login to the UI.

Since the application lives within browser screens, users can launch the current application page in a new browser tab by clicking the highlighted icon below.

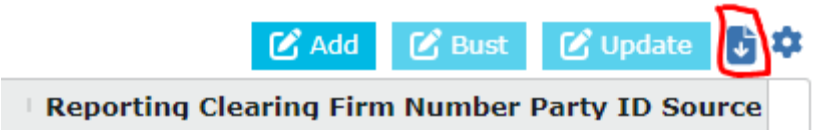


3.1 Grids

Grids continue to support sorting, column reordering and hiding, as well as filtering. After making any adjustments, the grid configuration can be saved to preferences. Multiple configurations can be saved and loaded.

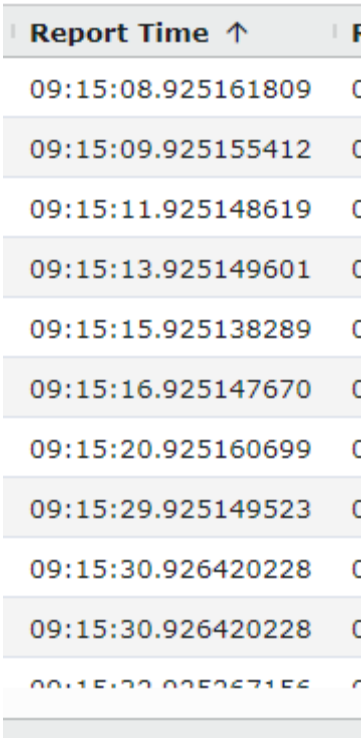
All actions on a grid row are now taken by clicking the appropriate button at the top of the grid which will change depending which grid is being worked on.

3.2 Exporting to Excel



The full contents of any grid can be exported to an Excel Spreadsheet by clicking the download button at the top righthand side of the grid.

3.3 Sorting



To sort, simply click on the column header. Clicking a second time will reverse the sort. The arrow icon will display the sort of column and the sort order (bottom up or top down)

3.4 Filtering

Filtering grids can be accomplished two different ways:

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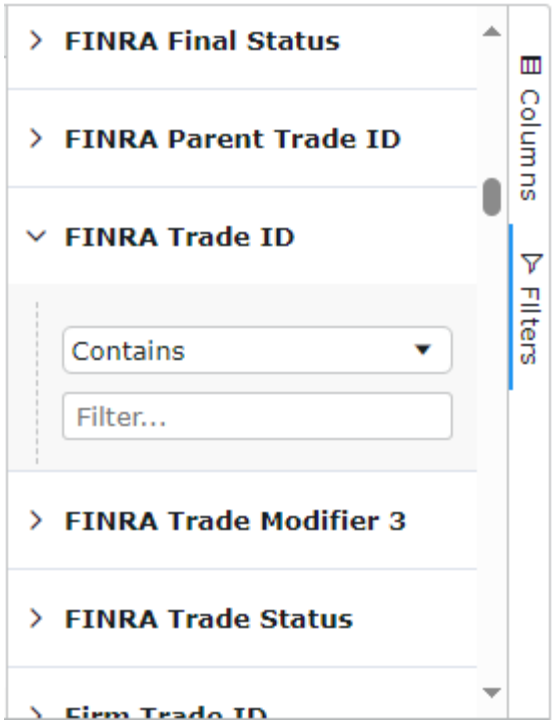
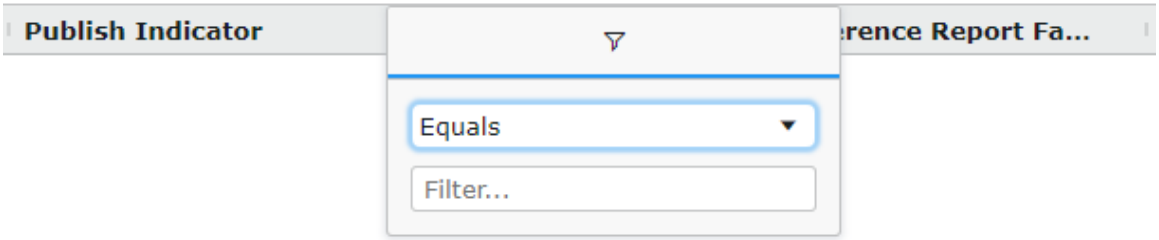


First by clicking the “Filters” button on the right side of any grid. This will open a panel that will display all columns. You can filter as many columns as you like.

Alternatively, hover the mouse over any column and the filter button (three horizontal bars) will display. You can then add the filter directly to the column.



Each column can have two filter values, and the filter can be set to require both (AND) or either (OR). The criteria can be Equals, Does not equal, Greater than, Greater than or equal to, Less than, Between, Blank or Not blank.

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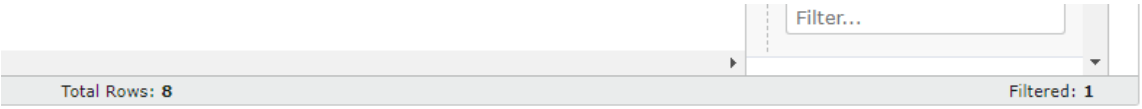
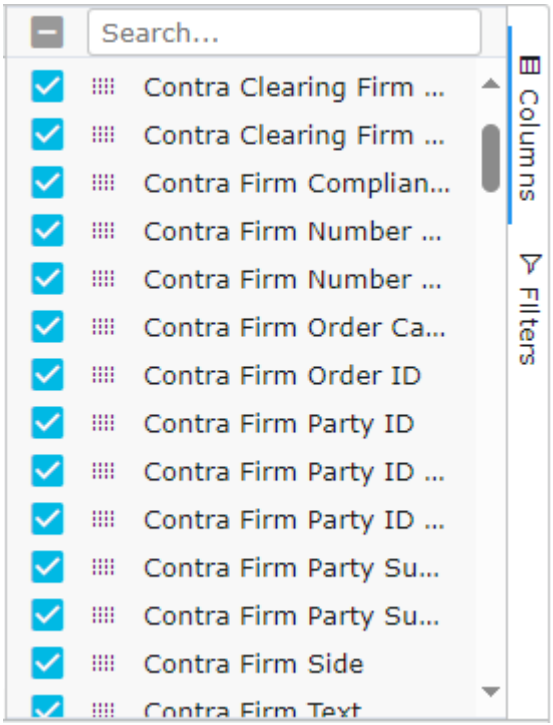


The bottom of every grid will show the total number of rows along with the number displayed through filtering. In the screen shot above, there are 8 total rows, but only 1 row is displayed. Any time you see a difference in the value, a filter is applied. *Be mindful to check this first if data is missing.*

3.5 Column Reordering

Columns can be reordered by clicking and dragging a column header to the desired position.



Alternatively, the **Columns** panel on the right side of the grid can be utilized. Open the panel, click and hold the highlighted icon and drag the column up or down to the desired position. Any column can also be displayed or hidden by checking or unchecking the checkbox next to the column.

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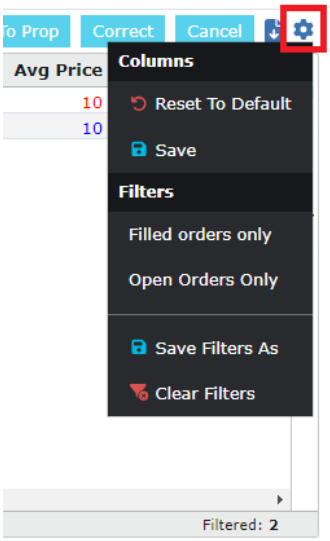
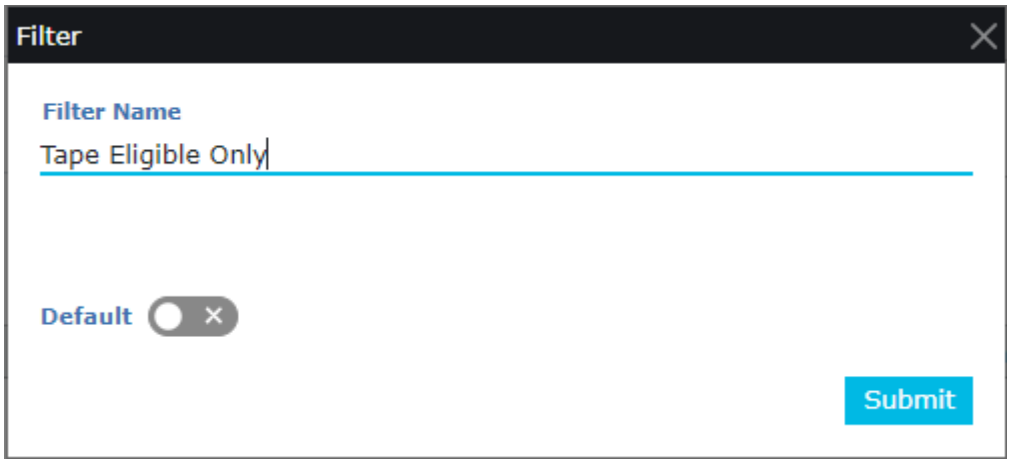
3.6 Saving and Loading Grid Configurations



Column and filter configurations can be saved and loaded by clicking the gear icon at the top righthand corner of any grid. This needs to be performed should you wish to retain any grid configurations for subsequent logins.



Multiple different filter configurations can be saved, by giving each their own Filter Name which can then be loaded as desired. After setting the desired filters, click **Save filters As** and a new dialog will open - allowing you to name the filter configuration. Checking the **Default** button will cause this filter to be automatically loaded upon your next login to the application.

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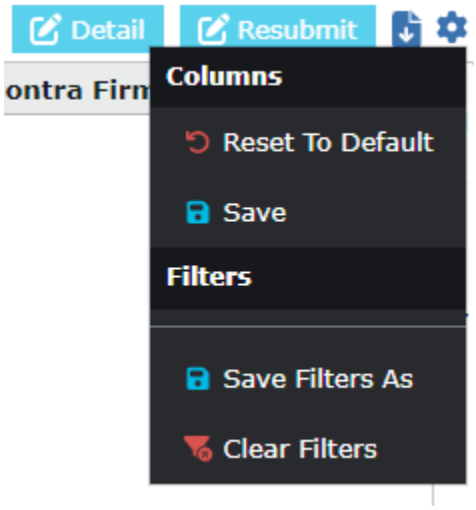

Switching between existing filter configurations can be done by clicking the name of the saved filter. From here you can also **Save**, **Edit** or **Delete** the selected filter.

Clicking **Clear Filters** will remove all current filters.

4. Trade Report Management

The Trade Management page allows users to add, modify and bust trade reports. There are four different tabs within the Trade Management page each displaying trade report information. All pages allow for Excel exports.

- Trades - Displays the latest state of the trade reports. Reports can be updated and/or busted from this tab. File uploads are also executed from this tab
- Rejected Trades - Displays all rejected trade reports. Can be filtered by Engine (TREJ), Gateway (GTRJ) or FINRA (FRJ) rejects. Firms can update and resubmit reports from this tab
- Transactions - Displays all actions taken and status changes for each trade report submitted on t-date. No actions can be executed on this tab. It is a search only tab.
- Transaction History - Displays all actions performed and status changes submitted on a specified t-date in the past. No actions can be executed on this tab. It is a search only tab

4.1 Trades

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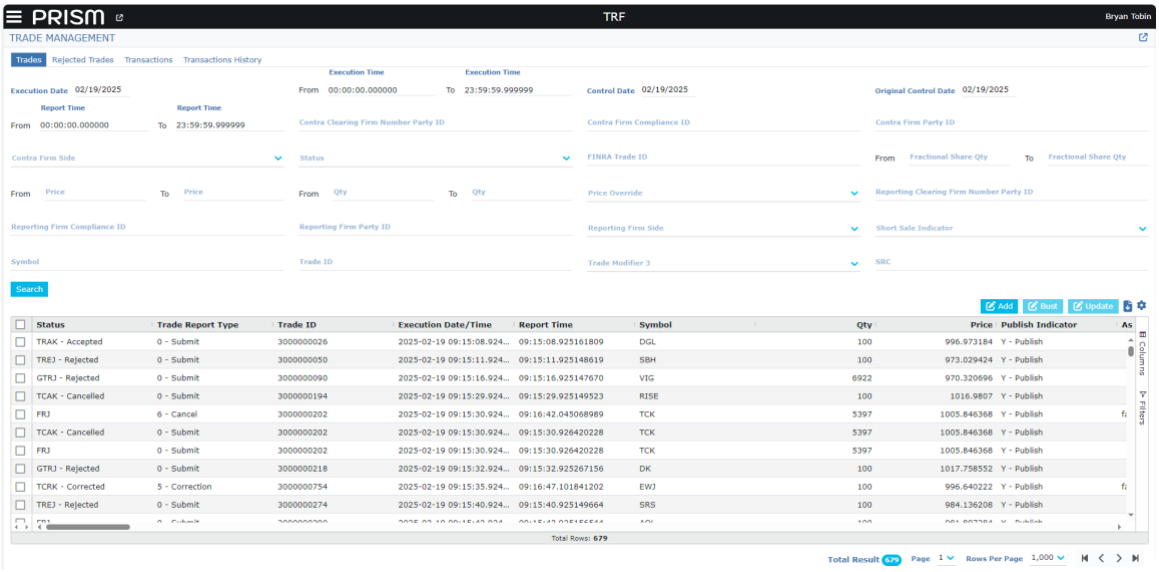
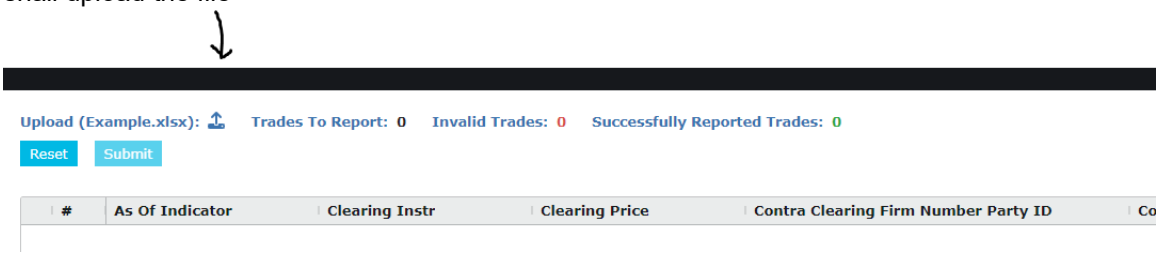


- Within the **Trades** tab the Search filters are displayed at the top of the screen and the results grid displayed below the filters
- SRC Search Filter = C will display reports submitted or adjusted through TRF Portal by the firm

3.1.1 Add Trades

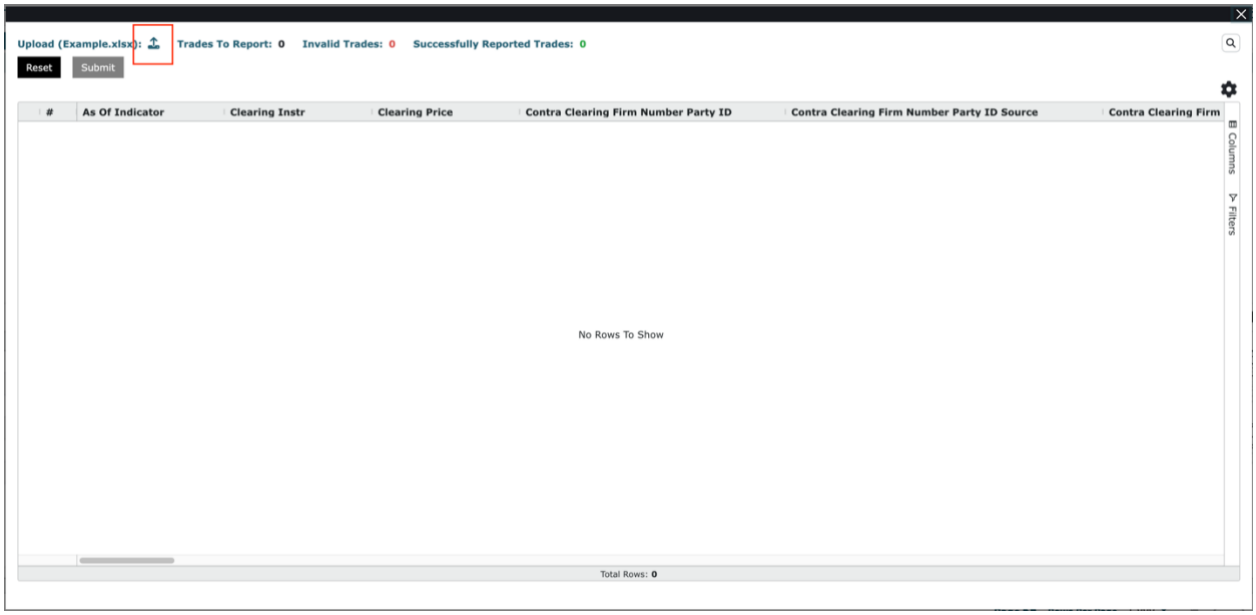
- Firms may submit files to Add one or up to 5,000 trade reports via bulk file upload by clicking the, 'Add,' button atop the right-hand corner of the results grid

- Firms can download the Example file to use as a template when creating their file. Once complete, the firm shall upload the file

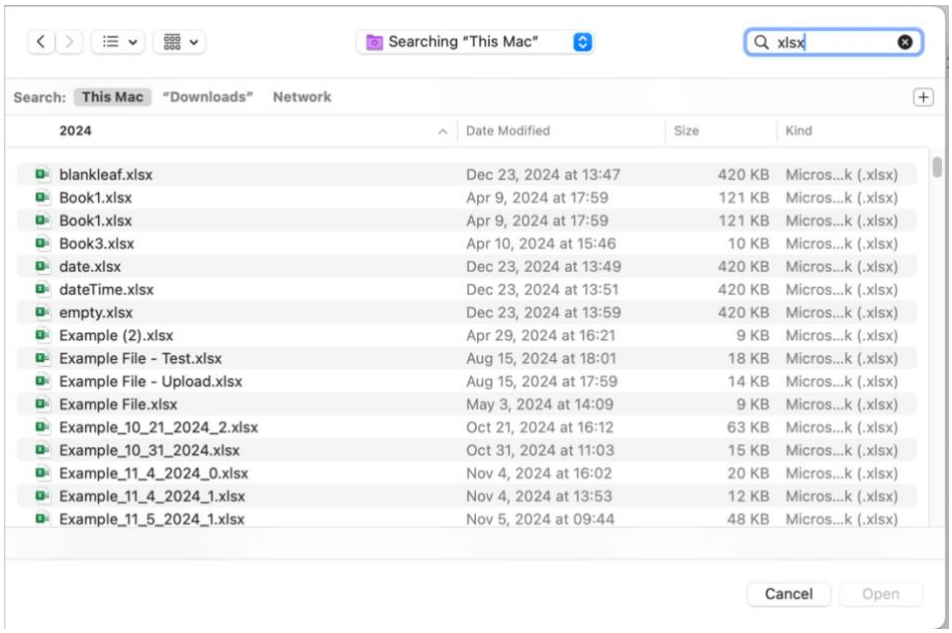


- Upload the file

- Click the icon



- Select the file to upload
    1. xlsx and xls files are supported to upload.



- Once the file has been uploaded, TRF Portal will validate all fields to determine formatting is validated prior to submitting to the Pillar engine. Firms will be alerted to bad formatting by receiving alerts in the bottom right corner. (NOTE – Business validations like Pricing Validations and Trade Modifiers are not validated. Validations are format only.)
- View the trades from the uploaded file

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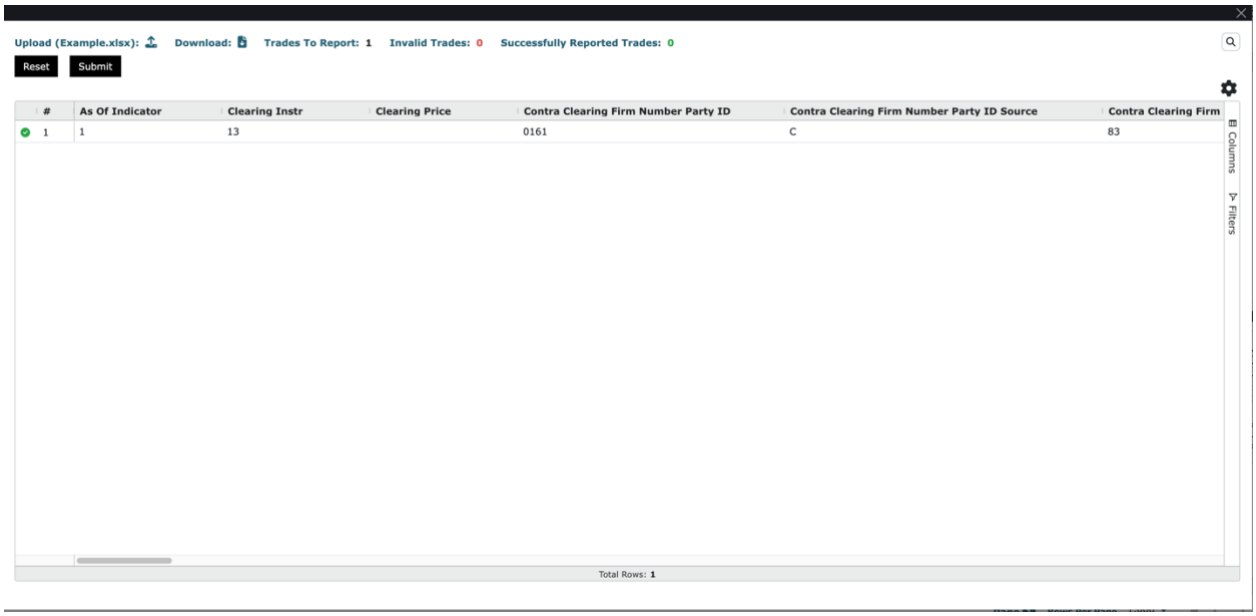
In the screenshot below, all trades from the uploaded file are displayed in the table.

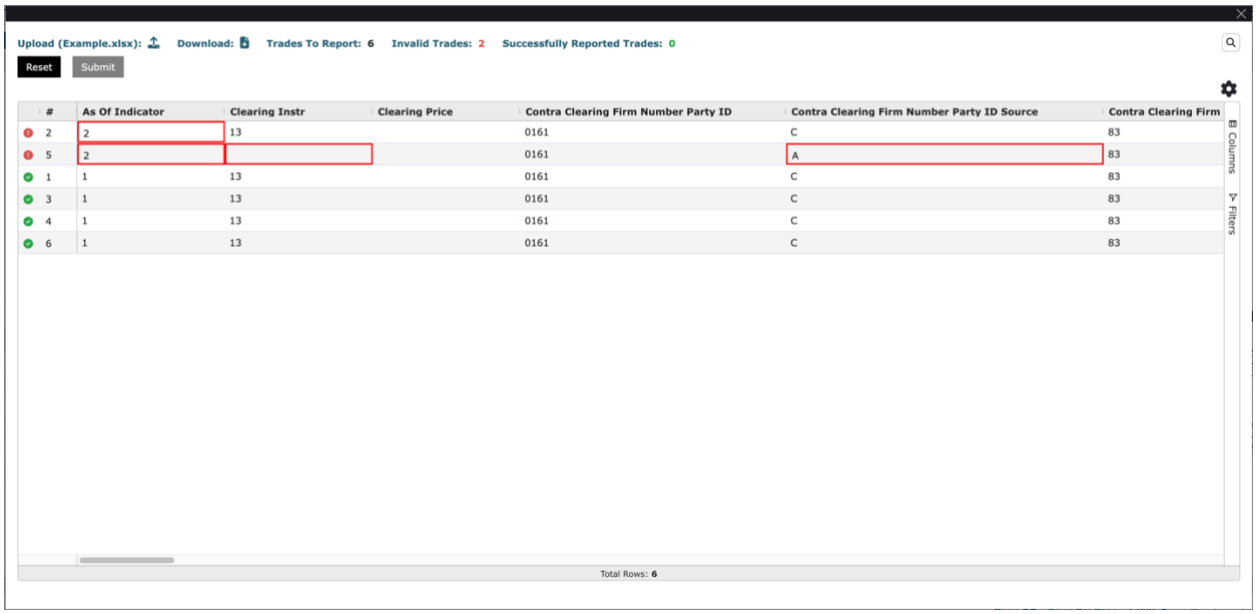
- All the trades are good to report.



#	As Of Indicator	Clearing Instr	Clearing Price	Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Source	Contra Clearing Firm
1	1	13		0161	C	83

In the screenshot below a few trades are not validated to report.

1. The invalid trades are placed at the top with the same excel index.
2. The invalid trades are marked with red exclamation.
3. The invalid data in trades are marked with red border.
4. The valid trades are marked with green check.



#	As Of Indicator	Clearing Instr	Clearing Price	Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Source	Contra Clearing Firm
2	2	13		0161	C	83
5	2			0161	A	83
1	1	13		0161	C	83
3	1	13		0161	C	83
4	1	13		0161	C	83
6	1	13		0161	C	83

5. Click red exclamation, and the detail of invalid data are listed at pop-up window.

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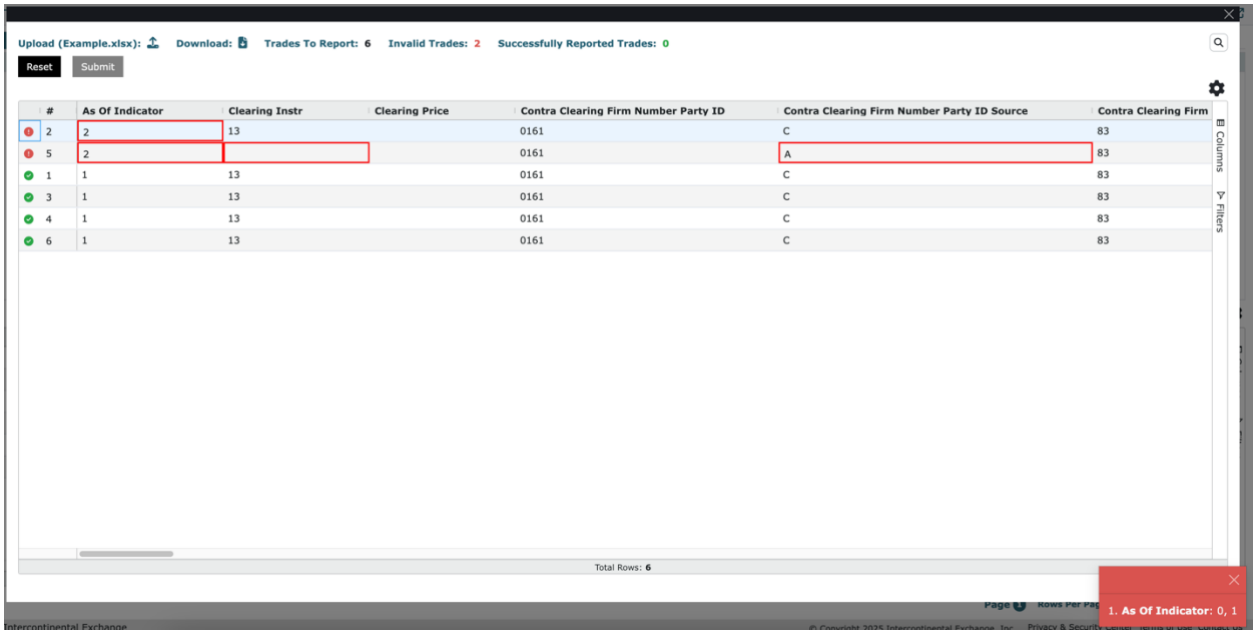
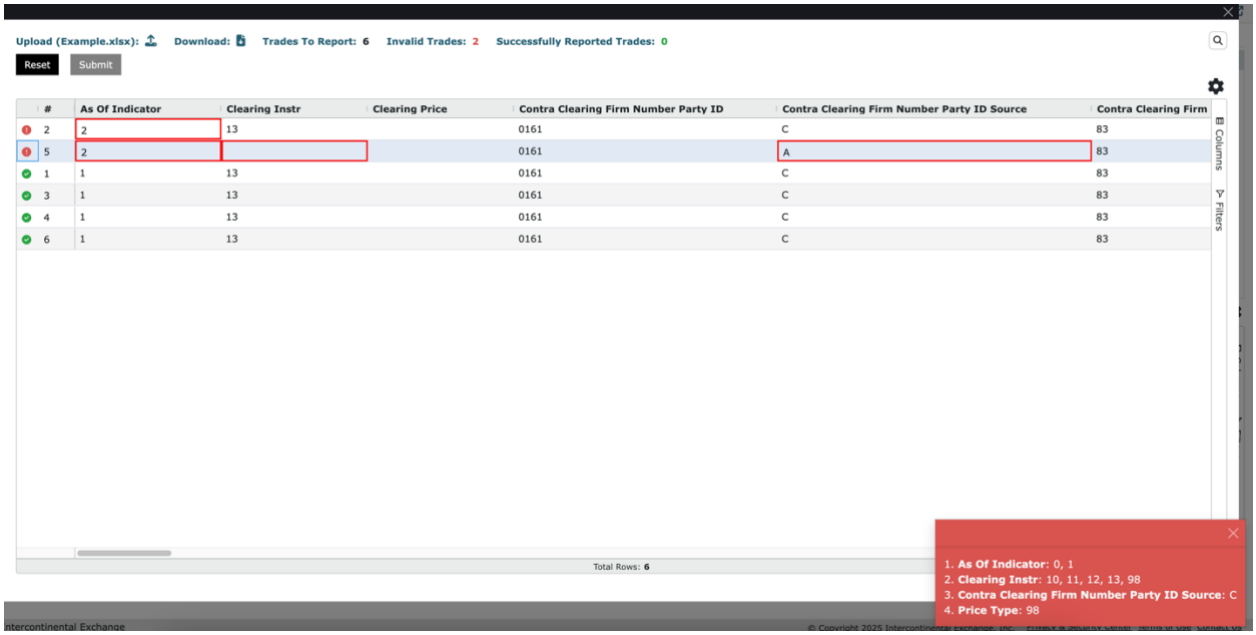
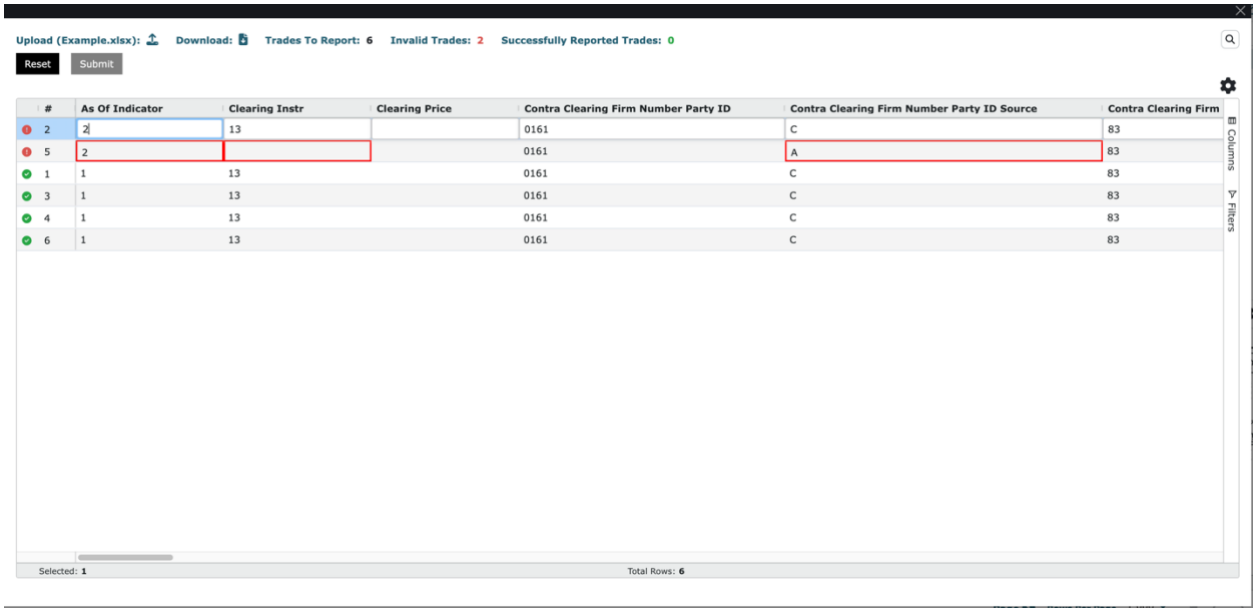


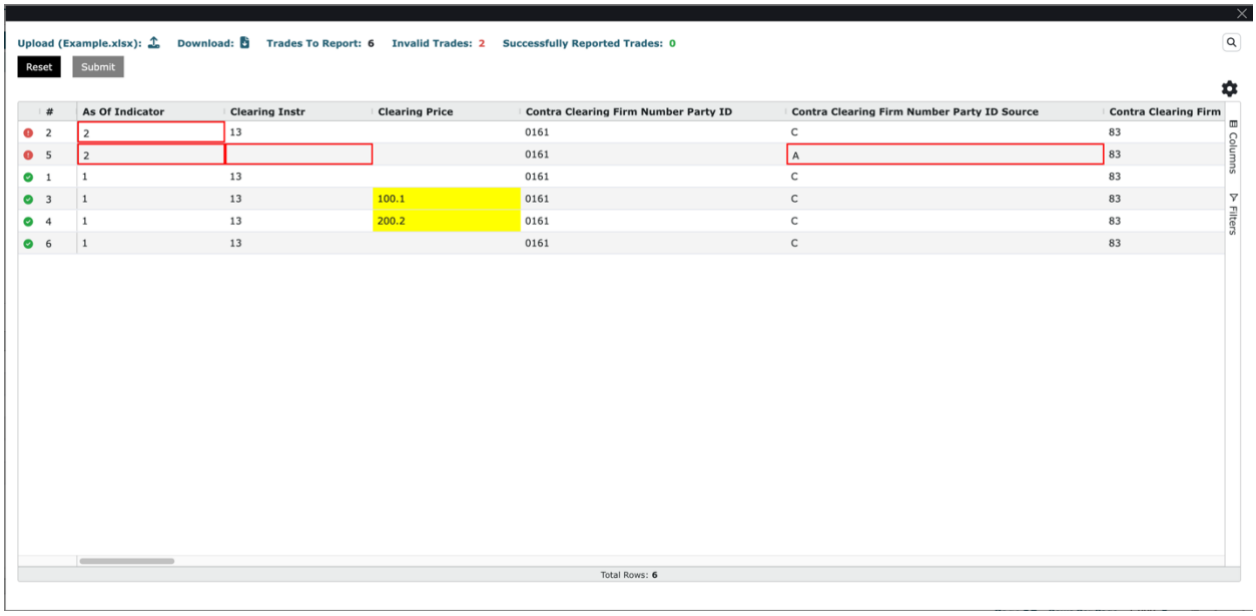


- Edit the trades from the uploaded file (All the trades in the table can be updated.)
- Double clicking to the row can trigger to edit.



#	As Of Indicator	Clearing Instr	Clearing Price	Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Source	Contra Clearing Firm
2	2	13		0161	C	83
5	2			0161	A	83
1	1	13		0161	C	83
3	1	13		0161	C	83
4	1	13		0161	C	83
6	1	13		0161	C	83

- The edited data in trades are marked with yellow background.
  1. The edited data means that this data from the table is different from the one from the uploaded file.



#	As Of Indicator	Clearing Instr	Clearing Price	Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Source	Contra Clearing Firm
2	2	13		0161	C	83
5	2			0161	A	83
1	1	13		0161	C	83
3	1	13	100.1	0161	C	83
4	1	13	200.2	0161	C	83
6	1	13		0161	C	83

- After the edit is done, the validation is applied to this edited trade.
  1. The invalid trades are marked with red exclamation. The valid trades are marked with green check.
  2. The invalid data in trades are marked with red border.
  3. Click red exclamation, and the detail of invalid data are listed at pop-up window.

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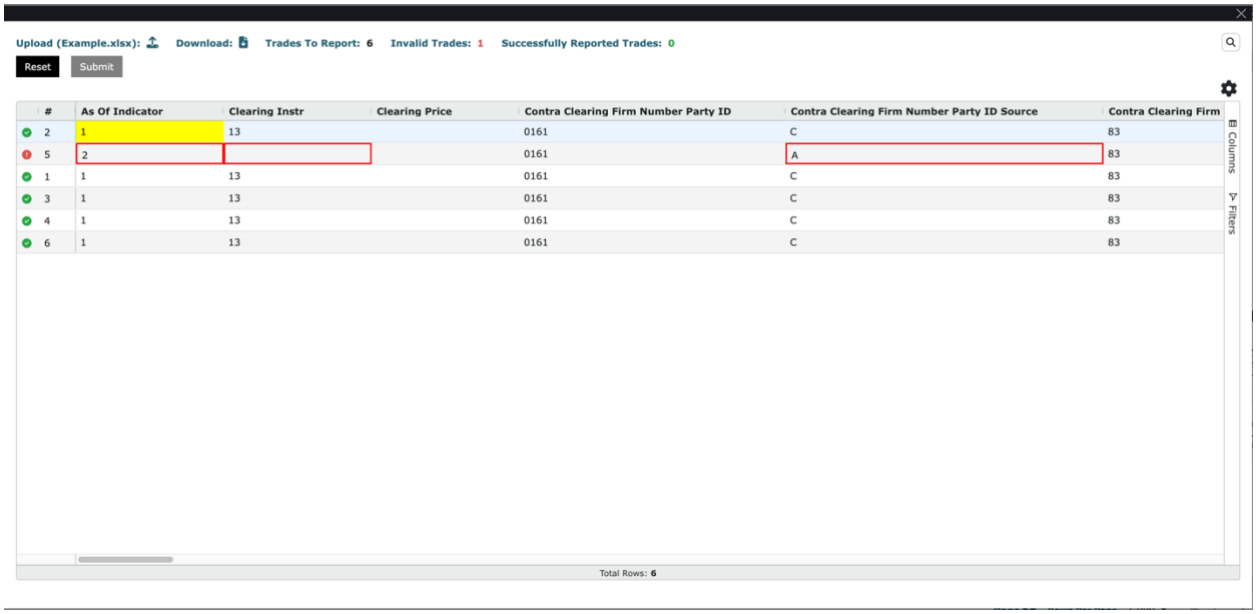
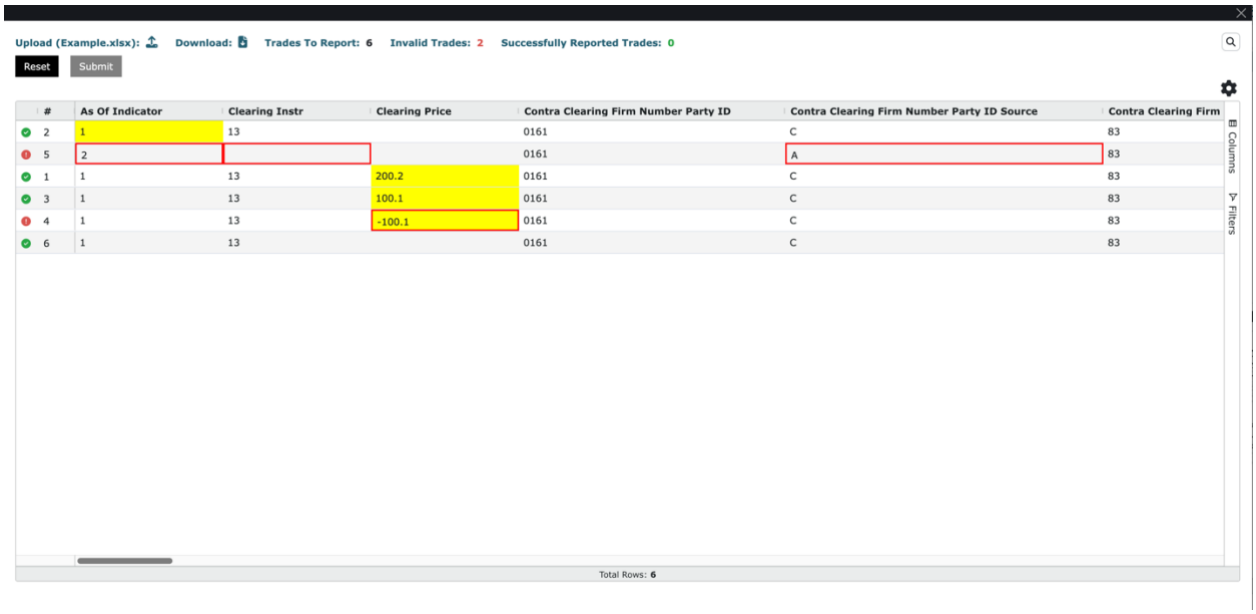


#	As Of Indicator	Clearing Instr	Clearing Price	Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Source	Contra Clearing Firm
2	1	13		0161	C	83
5	2			0161	A	83
1	1	13		0161	C	83
3	1	13		0161	C	83
4	1	13		0161	C	83
6	1	13		0161	C	83



#	As Of Indicator	Clearing Instr	Clearing Price	Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Source	Contra Clearing Firm
2	1	13		0161	C	83
5	2			0161	A	83
1	1	13	200.2	0161	C	83
3	1	13	100.1	0161	C	83
4	1	13	-100.1	0161	C	83
6	1	13		0161	C	83

- Submit the trades from the uploaded file
    - Click the “submit” button to report all the trades in the tale,
- Submit button will be able to click if all the trades are good to report.

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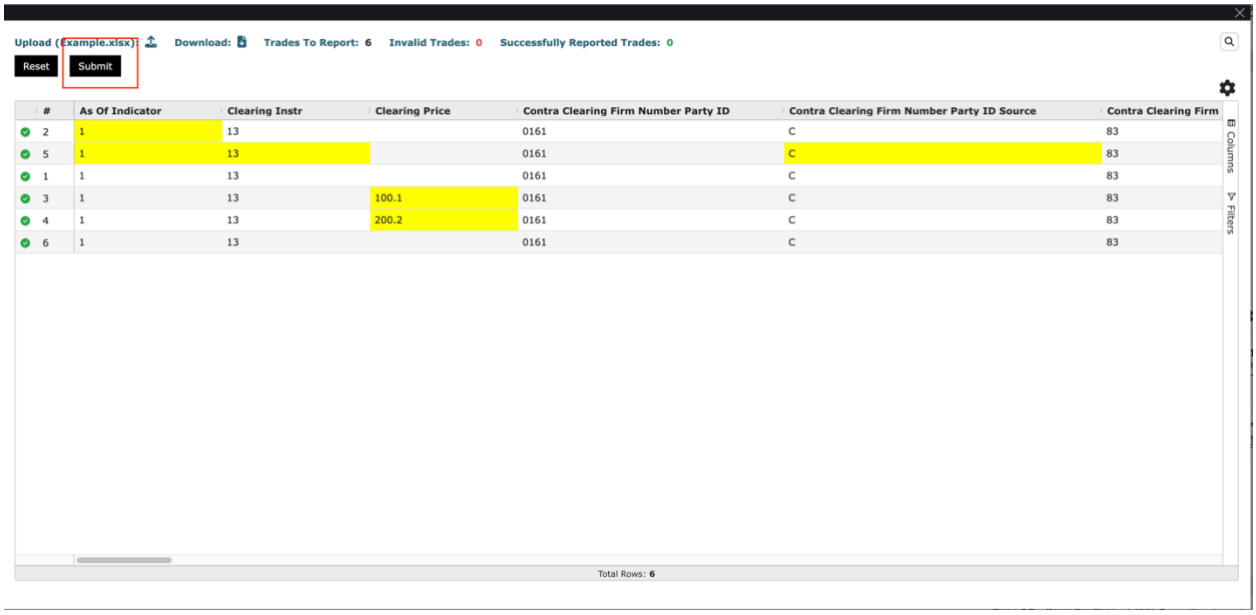
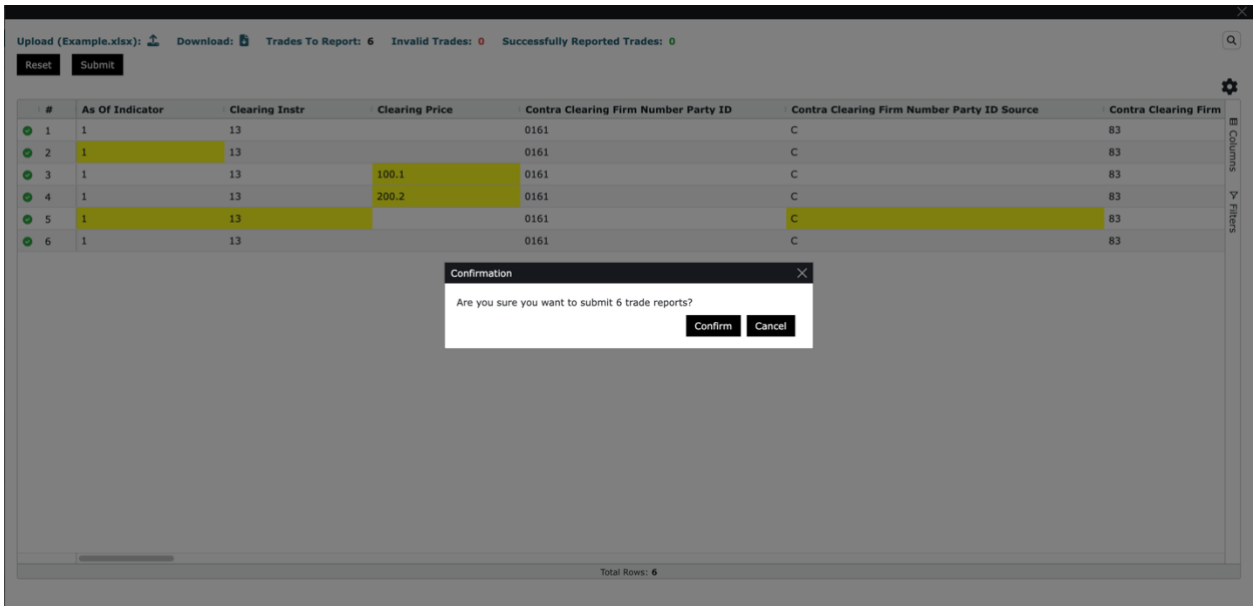


#	As Of Indicator	Clearing Instr	Clearing Price	Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Source	Contra Clearing Firm
2	1	13		0161	C	83
5	1	13		0161	C	83
1	1	13		0161	C	83
3	1	13	100.1	0161	C	83
4	1	13	200.2	0161	C	83
6	1	13		0161	C	83



#	As Of Indicator	Clearing Instr	Clearing Price	Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Source	Contra Clearing Firm
1	1	13		0161	C	83
2	1	13		0161	C	83
3	1	13	100.1	0161	C	83
4	1	13	200.2	0161	C	83
5	1	13		0161	C	83
6	1	13		0161	C	83

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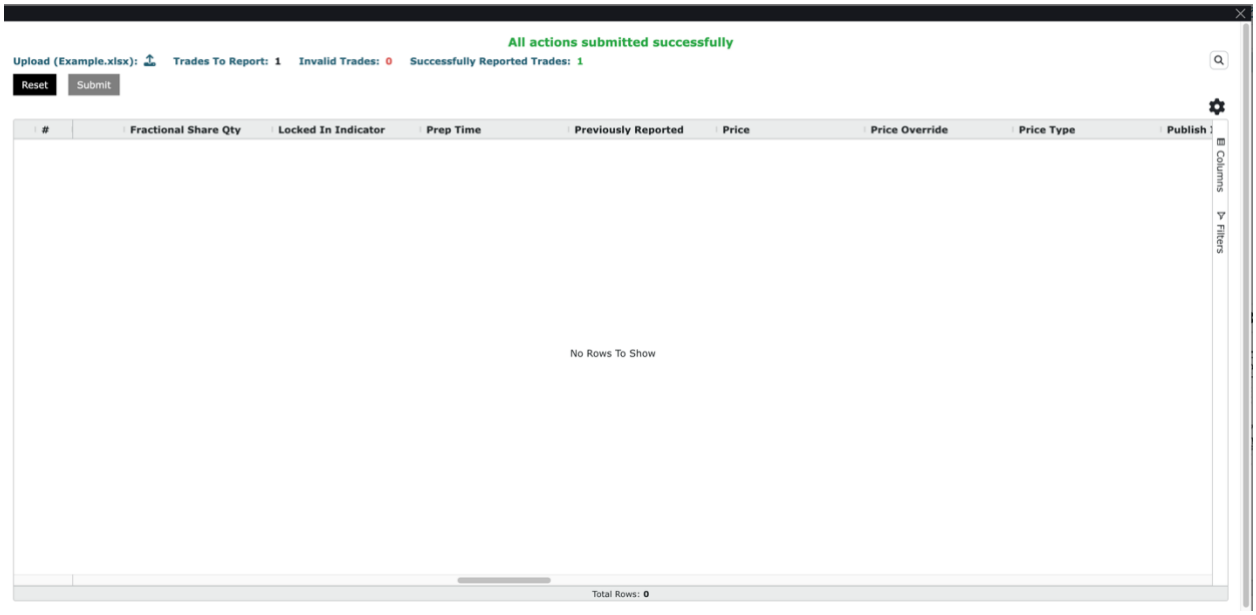
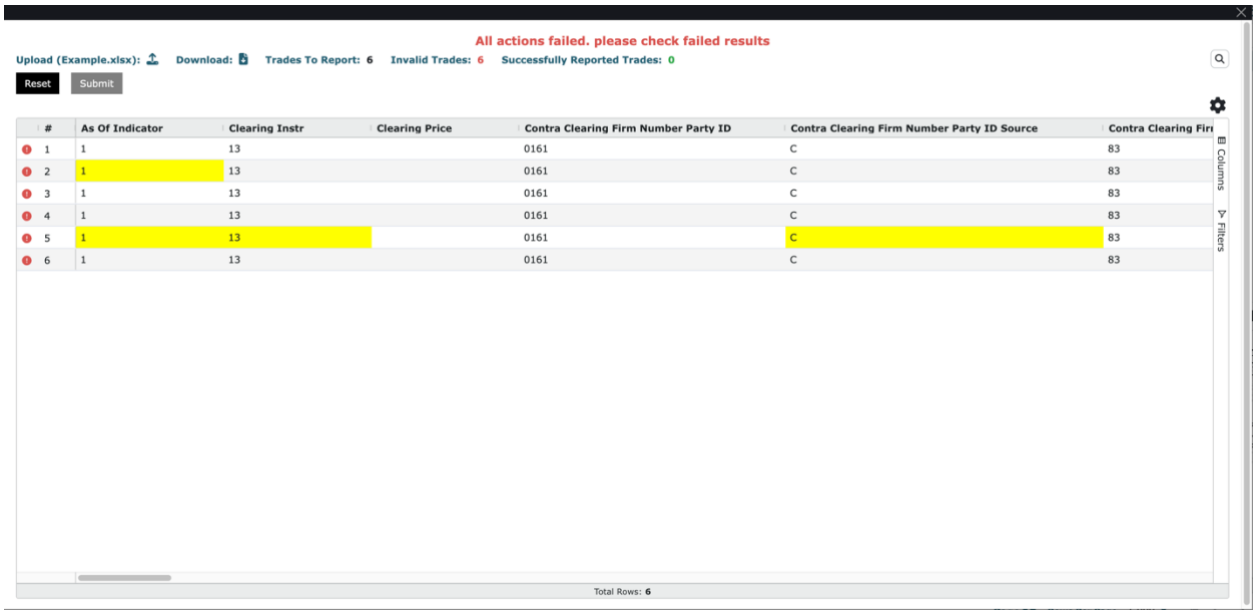
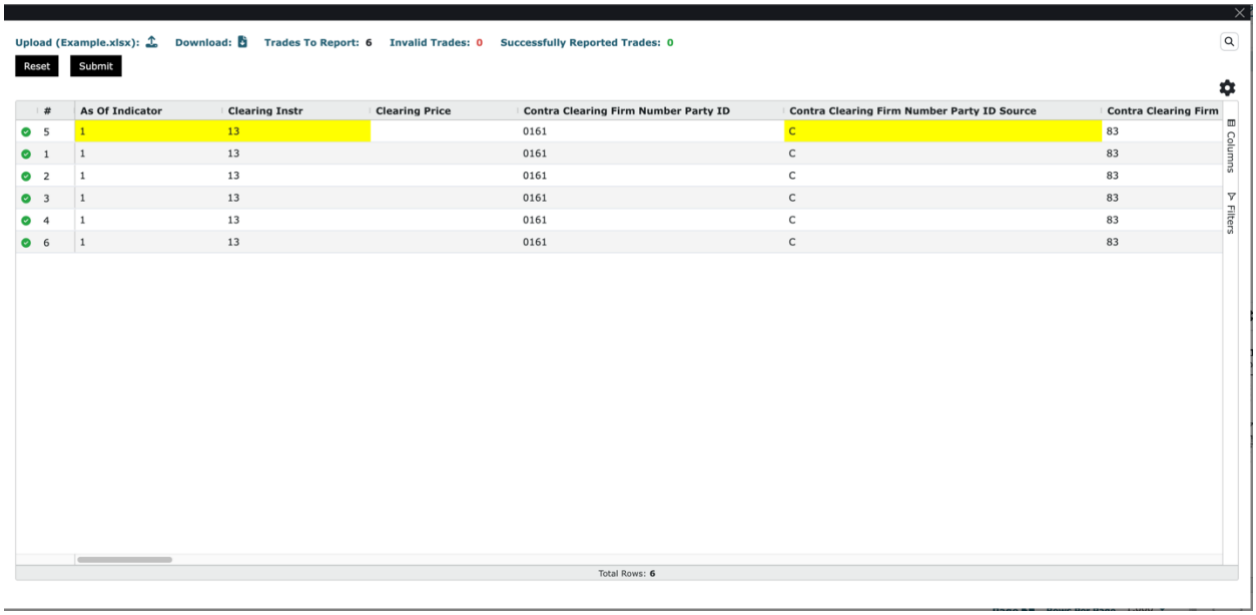
- All the trades success to report



- All the trades fail to report

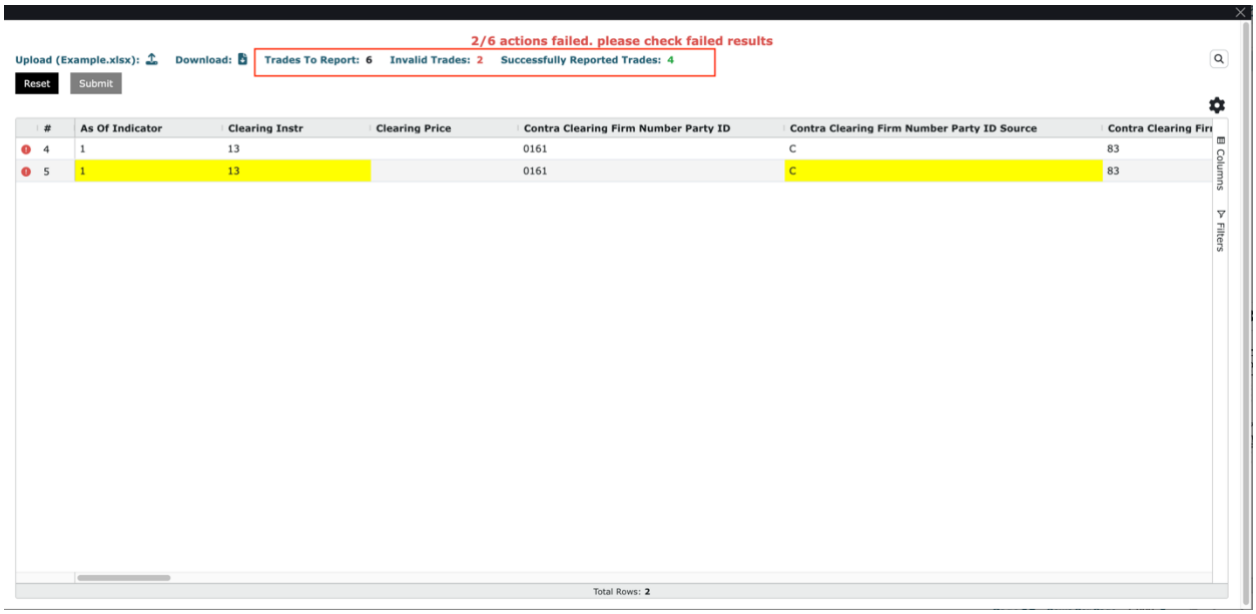


- Part of trades fail to report



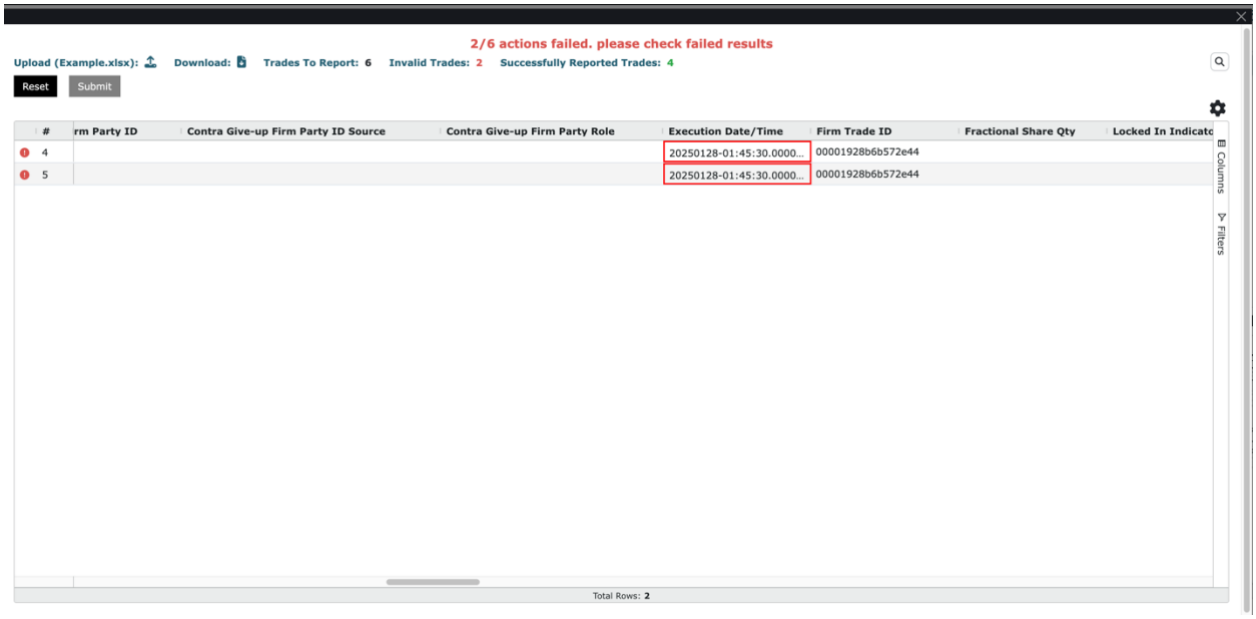
#	As Of Indicator	Clearing Instr	Clearing Price	Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Source	Contra Clearing Firm
5	1	13		0161	C	83
1	1	13		0161	C	83
2	1	13		0161	C	83
3	1	13		0161	C	83
4	1	13		0161	C	83
6	1	13		0161	C	83

1. The trades that were successfully reported are removed from the table.
2. The trades that failed to report are kept in the table.
3. The reporting information is listed at the top of the page.

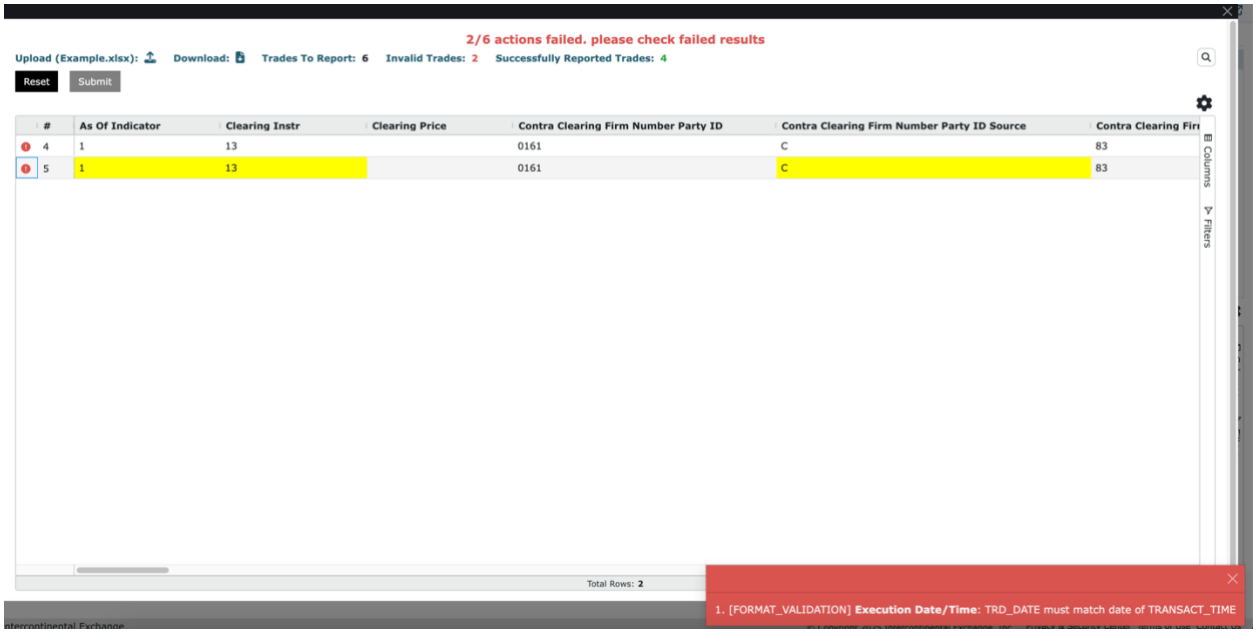


#	As Of Indicator	Clearing Instr	Clearing Price	Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Source	Contra Clearing Firm
4	1	13		0161	C	83
5	1	13		0161	C	83

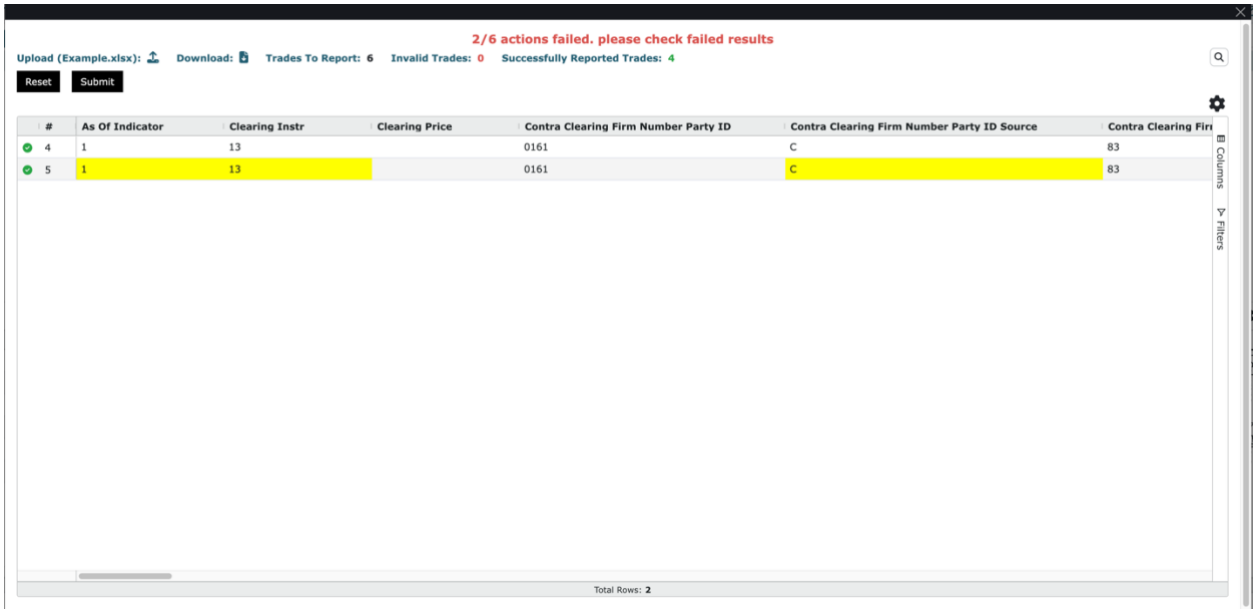
4. The invalid data in the trades that fail to report are marked with red border.



5. Click red exclamation, and the detail of invalid data are listed at pop-up window.

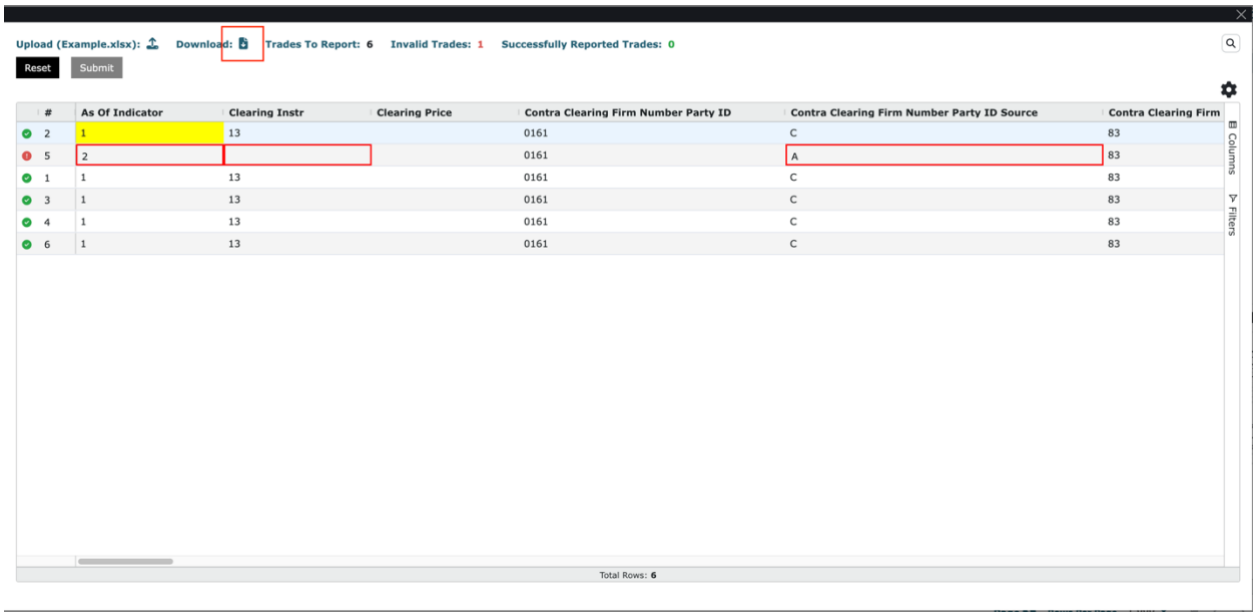


6. Edit the failed trades and submit to report or quit the report page.



#	As Of Indicator	Clearing Instr	Clearing Price	Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Source	Contra Clearing Firm
4	1	13		0161	C	83
5	1	13		0161	C	83

- Download the trades in table
  - Click the icon, and the data in table is downloaded as one excel file.



#	As Of Indicator	Clearing Instr	Clearing Price	Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Source	Contra Clearing Firm
2	1	13		0161	C	83
5	2			0161	A	83
1	1	13		0161	C	83
3	1	13		0161	C	83
4	1	13		0161	C	83
6	1	13		0161	C	83

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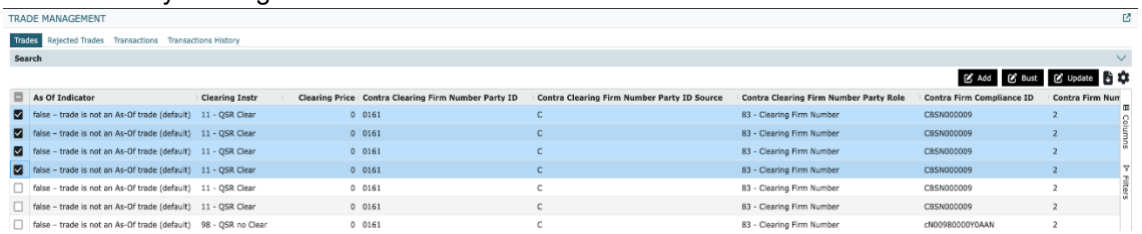
4.1.2 Bust (Cancel T-Date/Reverse T+N)

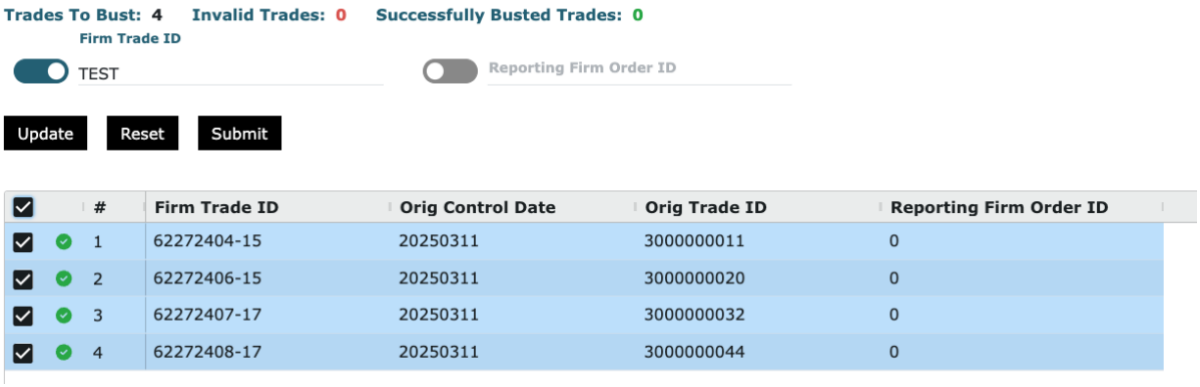
- (CANCEL) original control date and execution dates are T-Date:

1. Select trades by clicking on the check button

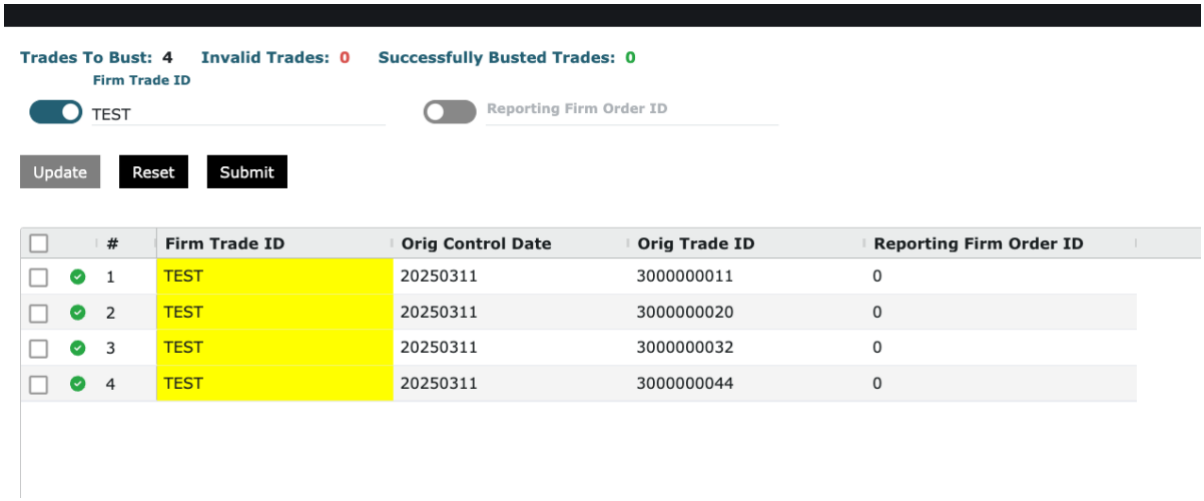


2. Click on Bust button and the following screen should be displayed

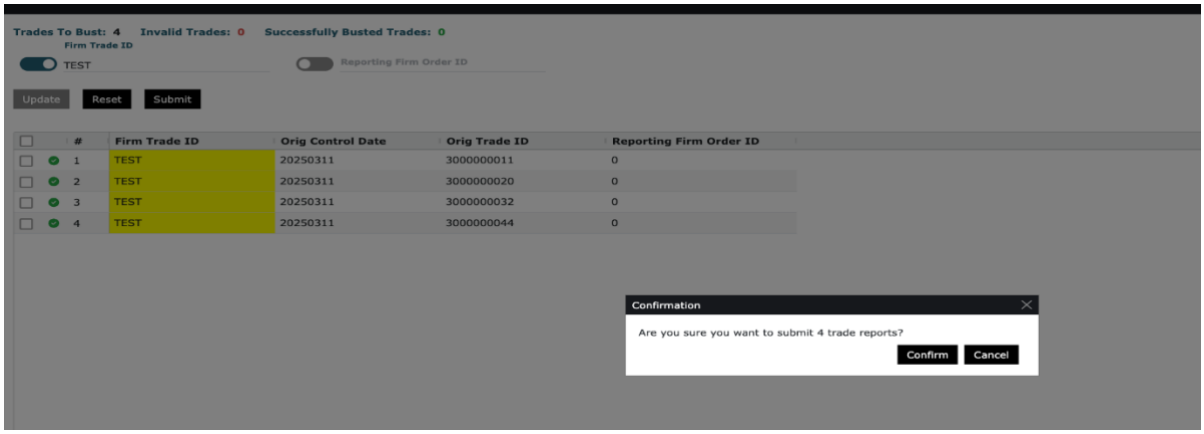
3. Turn on toggle for any values that need to be changed, enter new values, and select records to apply the changes



4. Click update button, updated values are highlighted in yellow



5. Click submit button, and then click" confirm" button on the following confirmation box

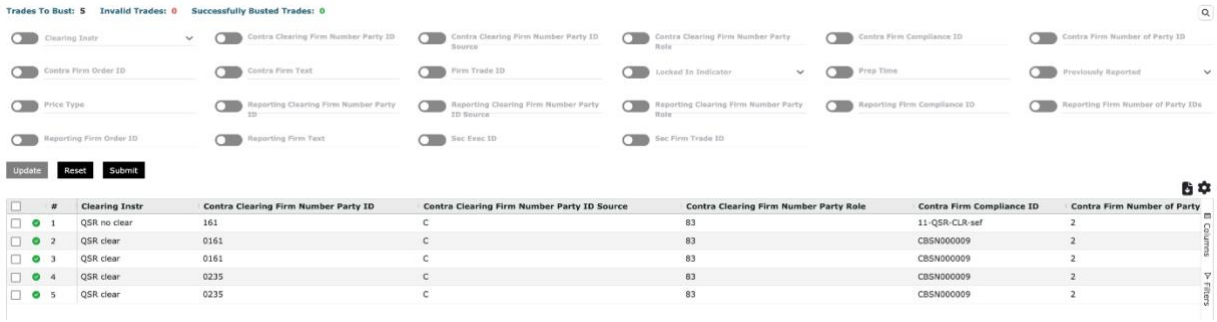


6. If the submission is successful, following message should be displayed

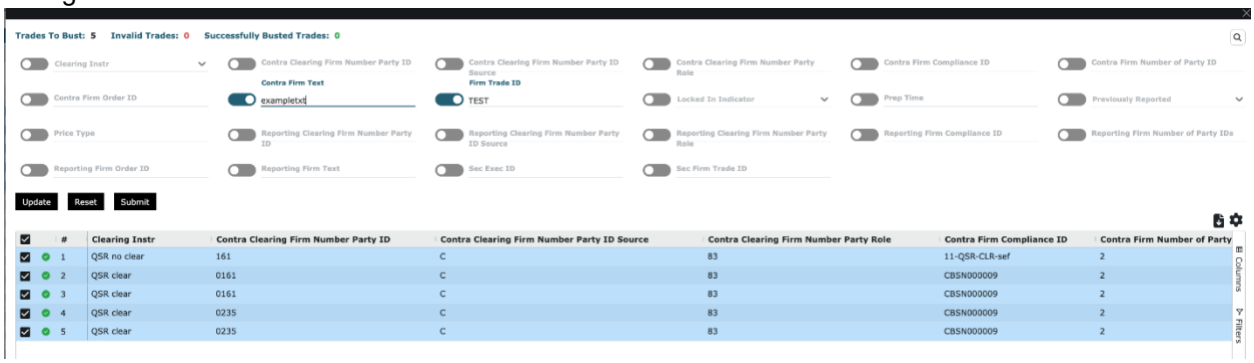
- (REVERSAL) Original control date and execution date are not today:

1. Select trades by clicking on the check button

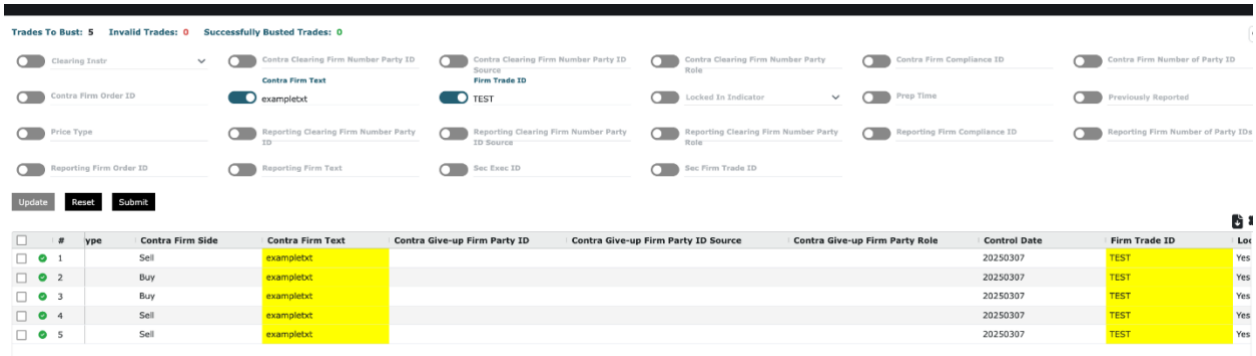
2. Click on Bust button and the following screen should be displayed



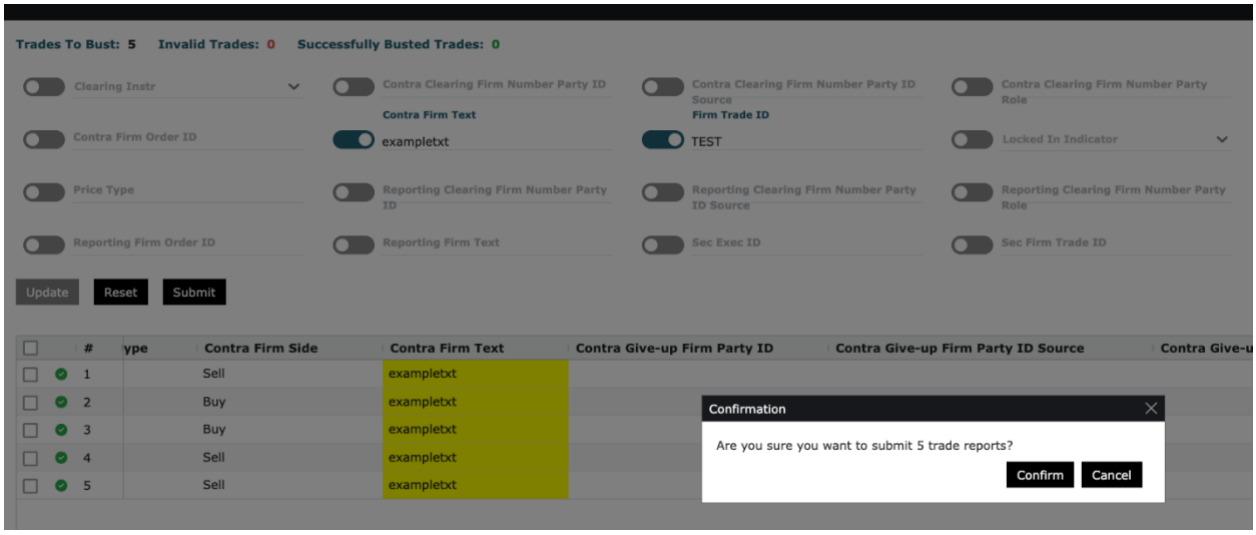
3. Turn on toggle for any values that need to be changed, enter new values, and select records to apply the changes



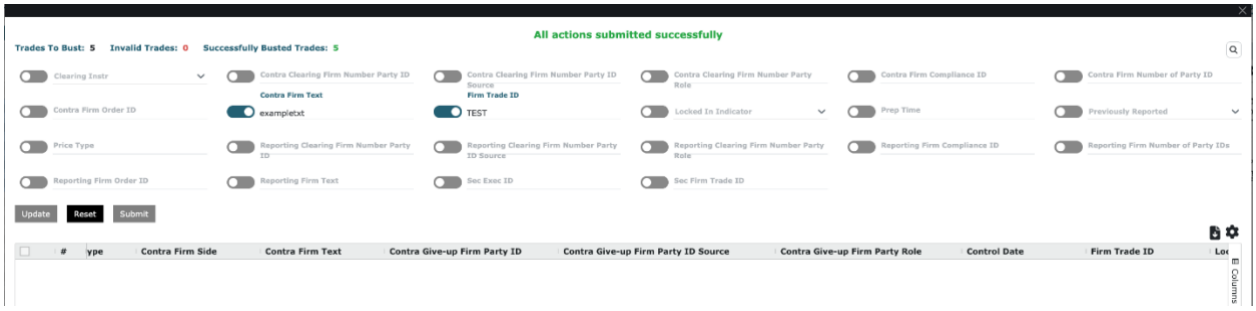
4. Click update button, updated values are highlighted in yellow



5. Click submit button, and then click" confirm" button on the following confirmation box



6. If the submission is successful, following message should be displayed

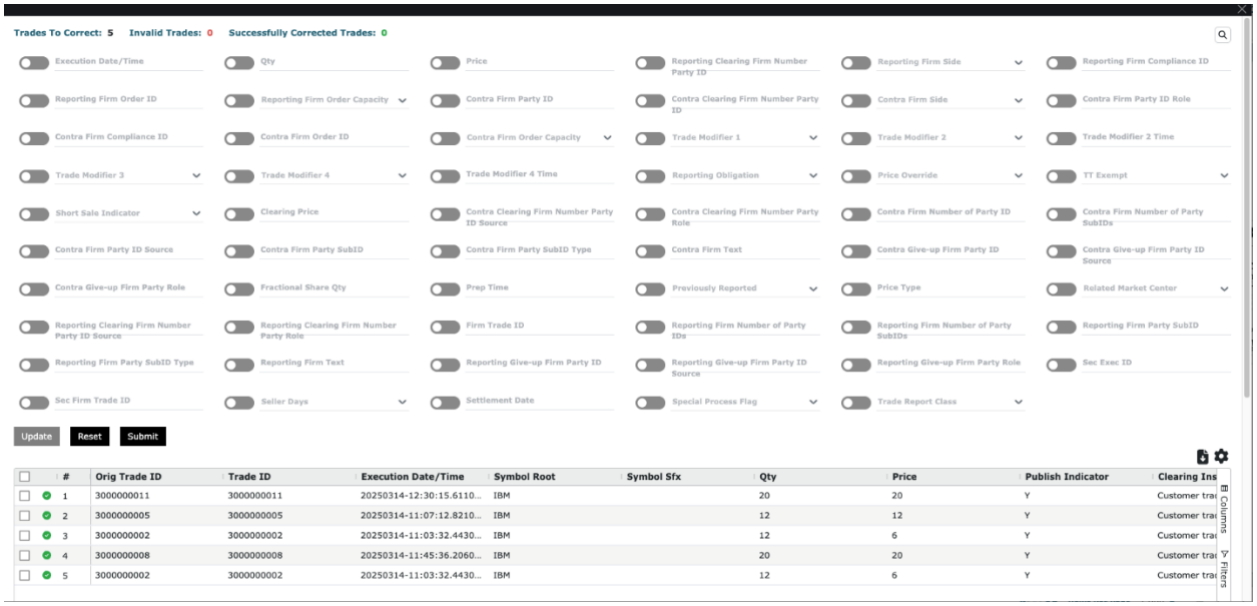


4.1.3. Trade Report Update

- Correct Trades
    - View the selected trades

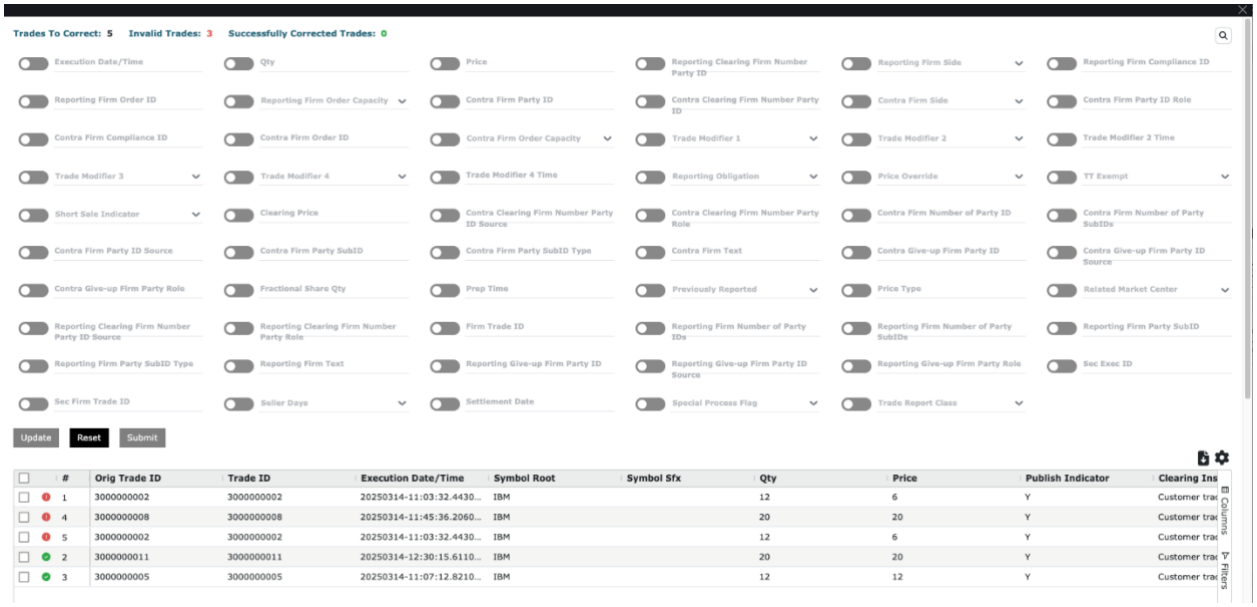
All the selected trades are displayed in the table.

- All the trades are valid to correct.

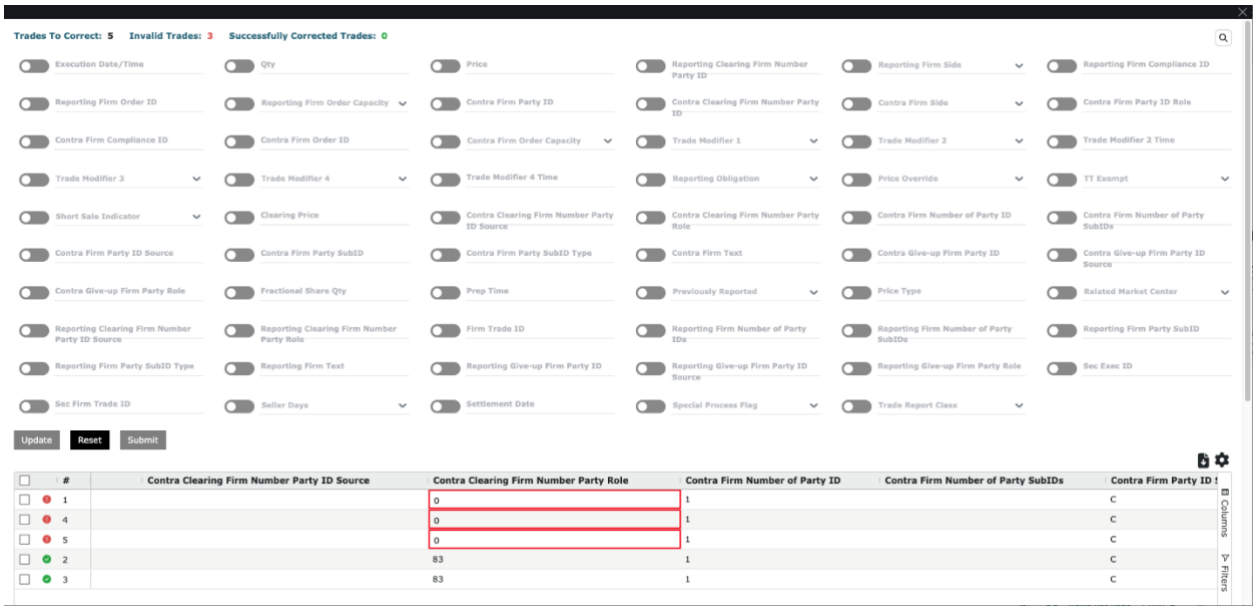


- Some trades are not valid to correct.

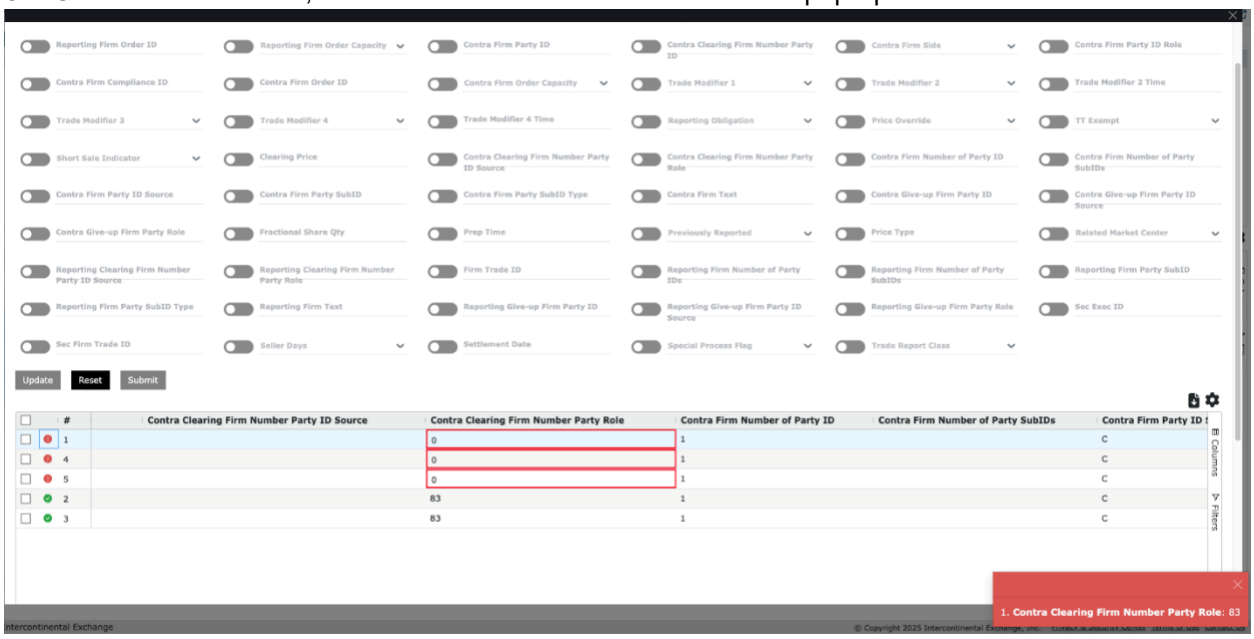
6. The invalid trades are marked with red exclamation. The valid trades are marked with green check.



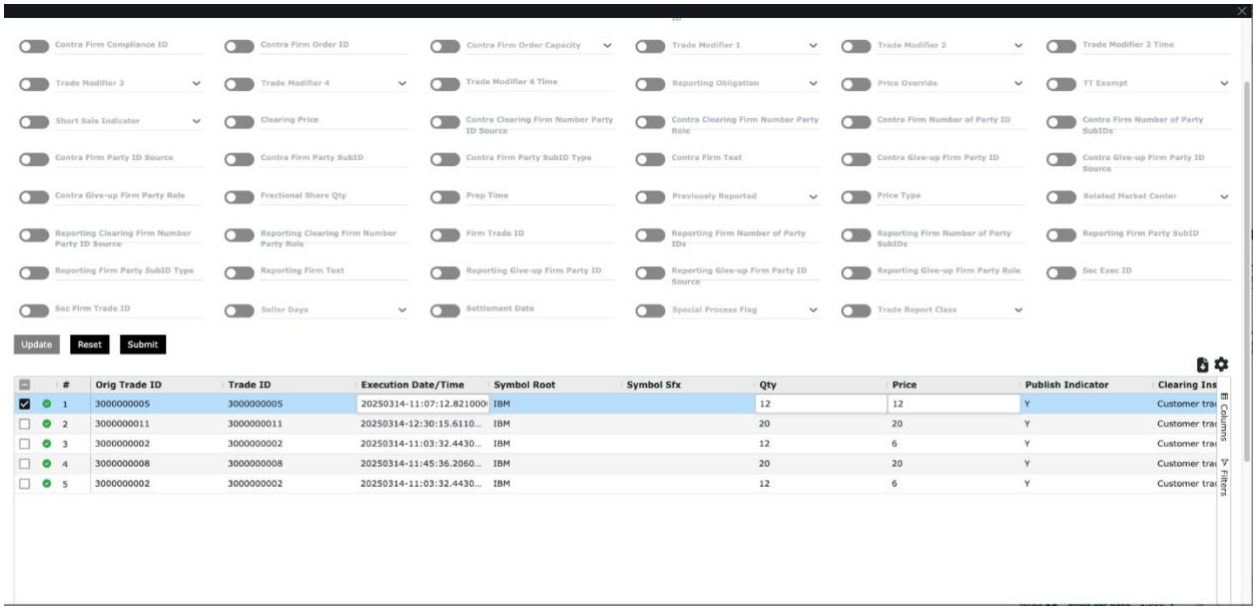
7. The invalid data in trades are marked with red border.



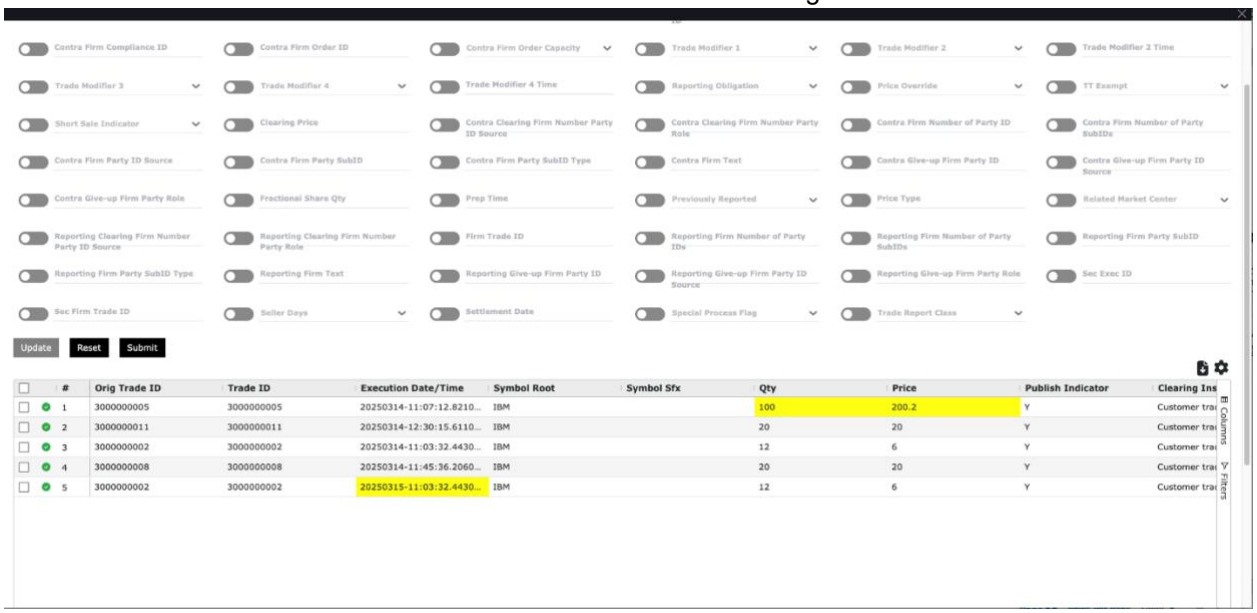
8. Click red exclamation, and the detail of invalid data are listed at pop-up window.



- Correct the single trade
  - Double clicking to the row can trigger to edit.
    1. The data within the input box can be edited.
    2. The data without the input box is read-only.

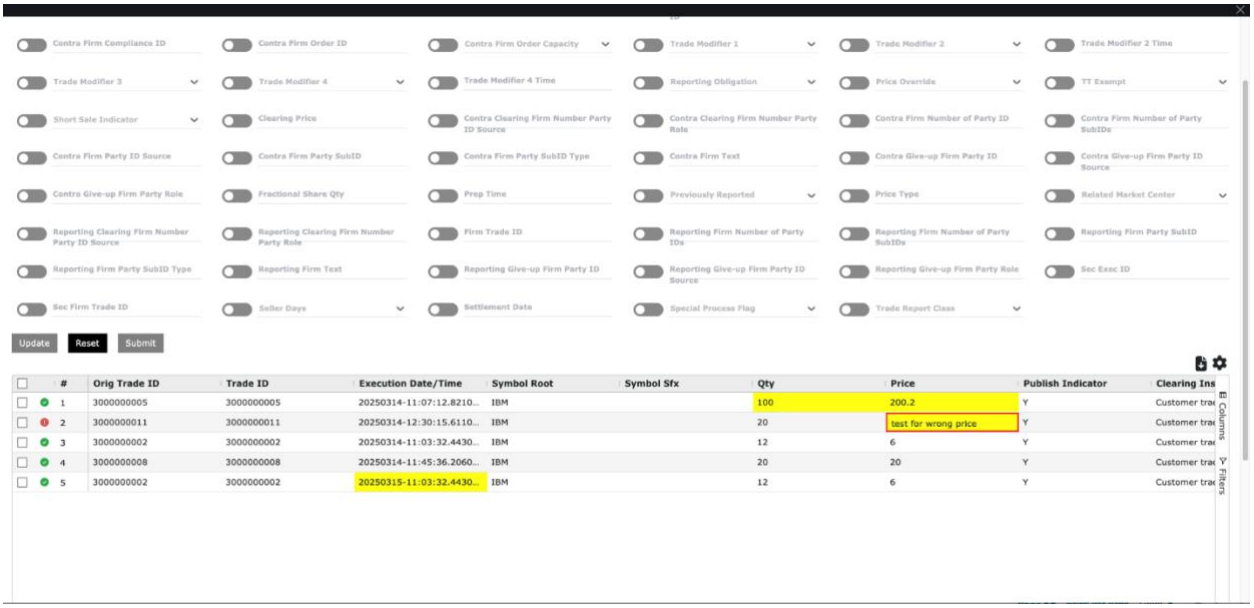


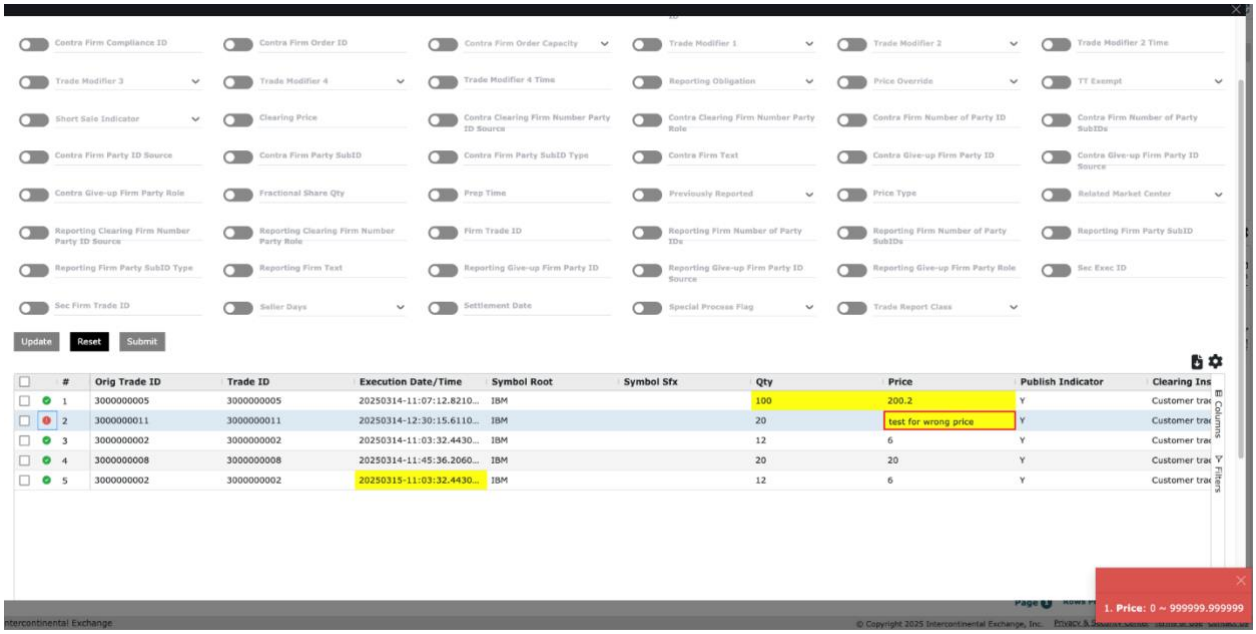
- The edited data in trades are marked with yellow background.
  2. The edited data means that this data is different from the original one.



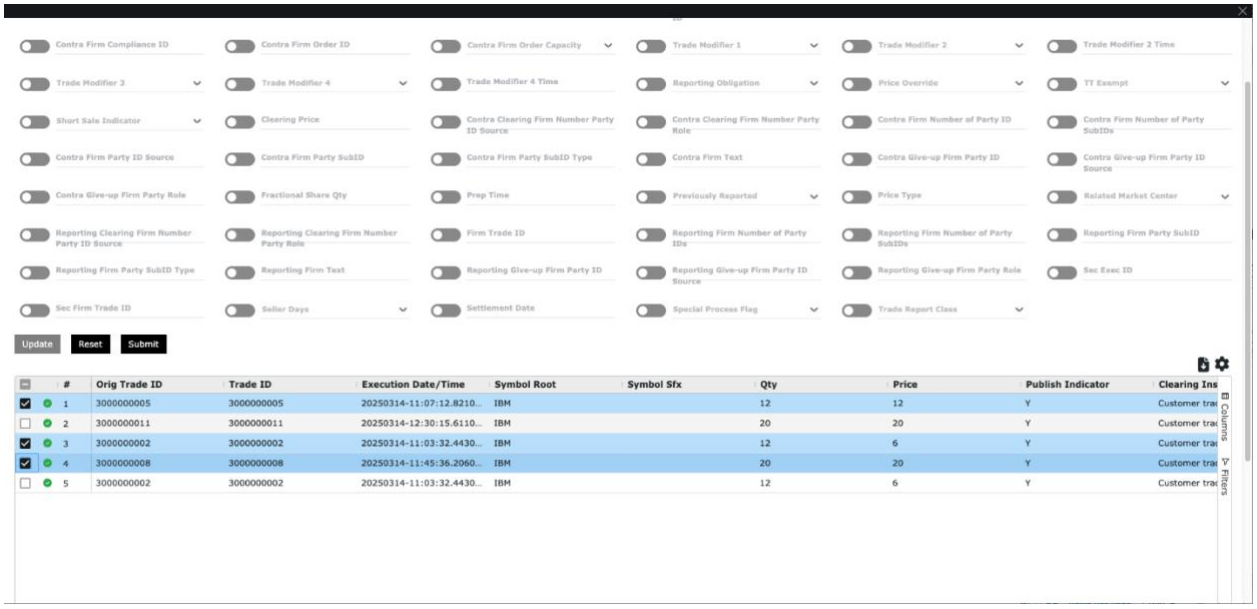
- After the edit is done, the validation is applied to this edited trade.

  4. The invalid trades are marked with red exclamation. The valid trades are marked with green check.
  5. The invalid data in trades are marked with red border.
  6. Click red exclamation, and the detail of invalid data are listed at pop-up window.

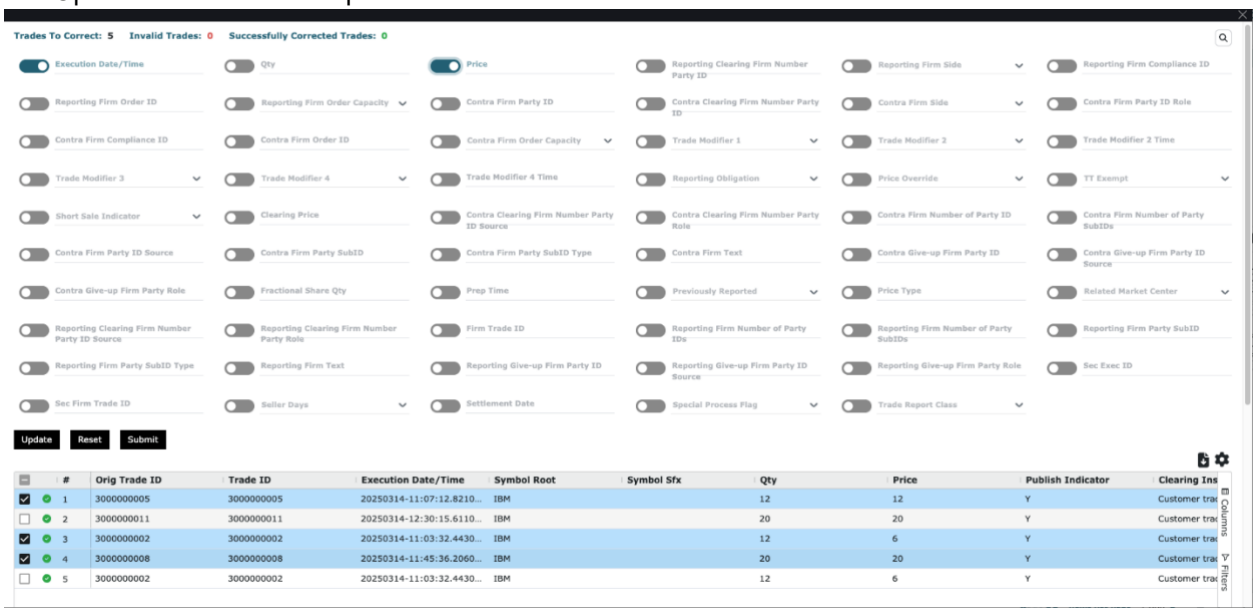




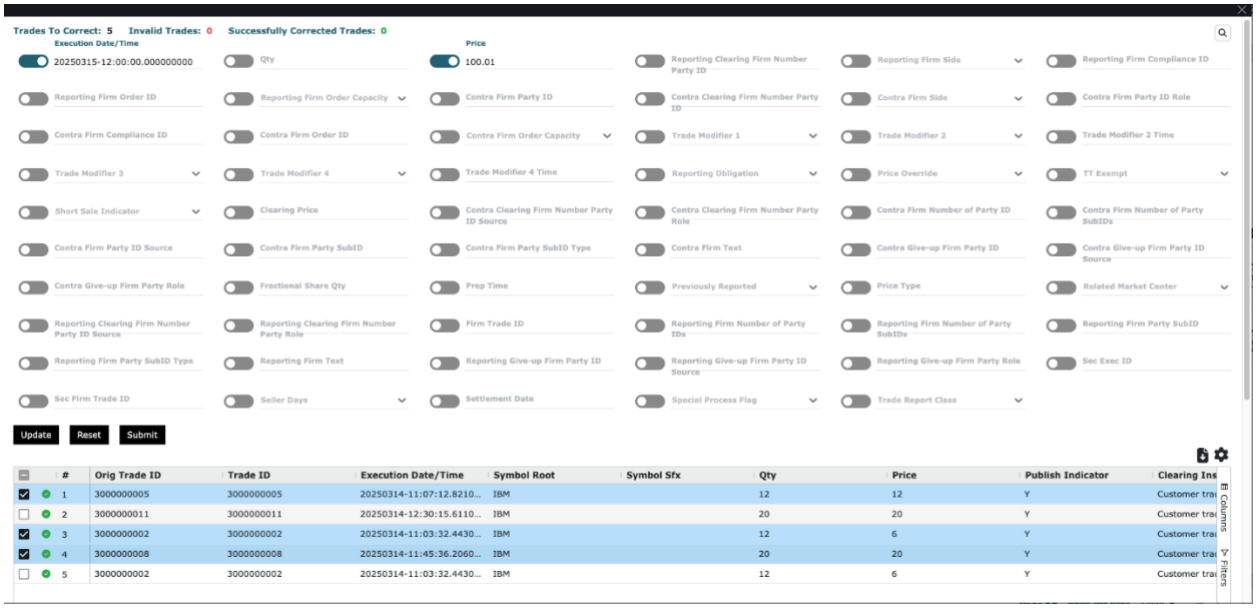
- Correct the multiple trades
  - Click the checkbox of the trades



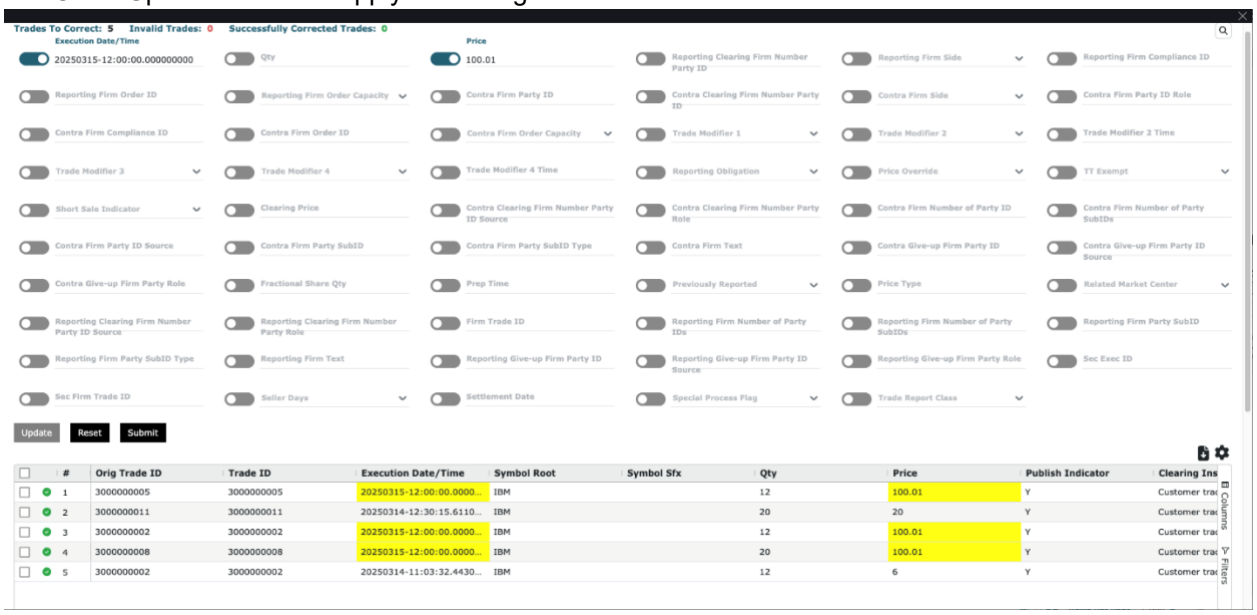
- Open the switch of the input



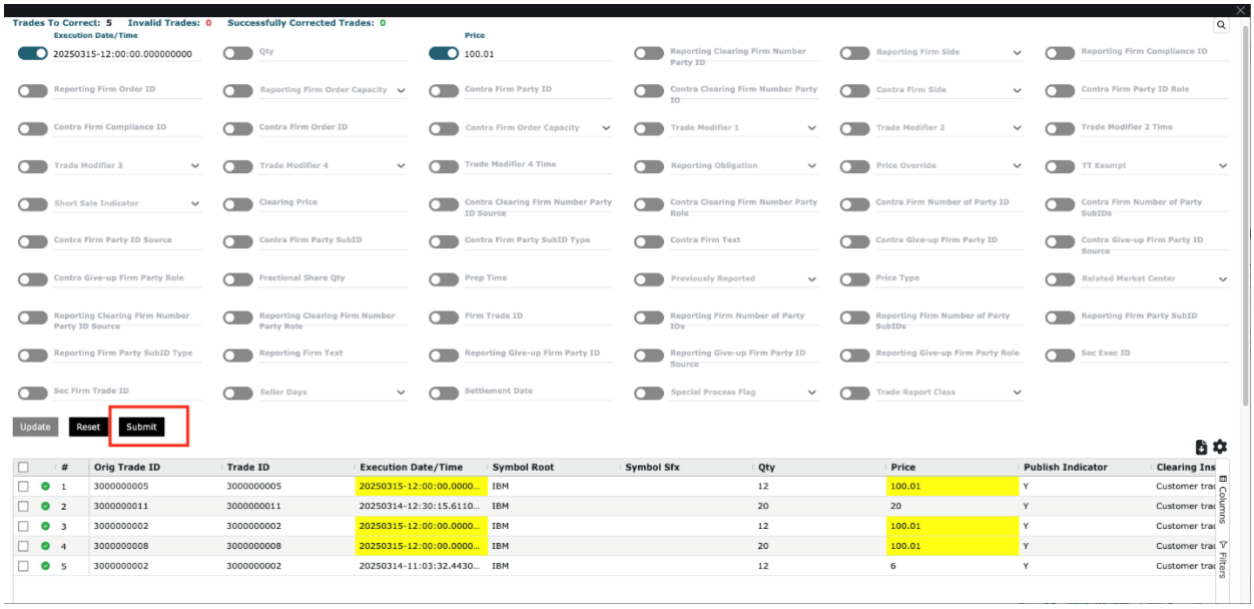
- Input the value after the open switch
  1. The input with the open switch will be applied to the selected trades.
  2. The input with close switch will keep the same value as the original one at the selected trades.

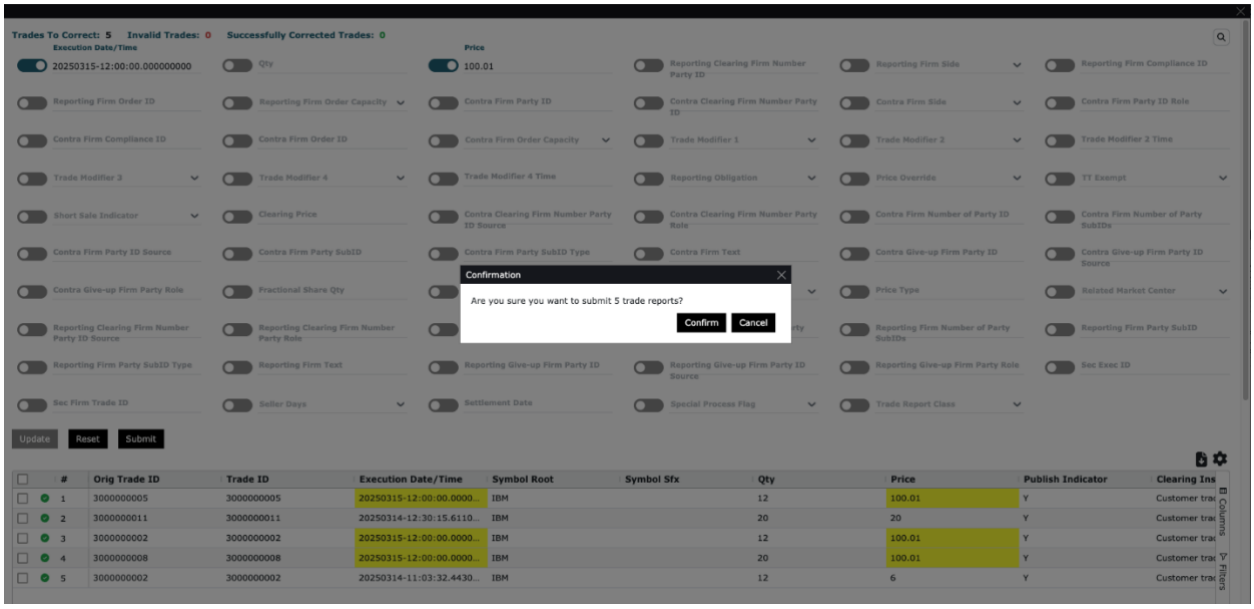


- Click “Update” button to apply the changes to the selected data

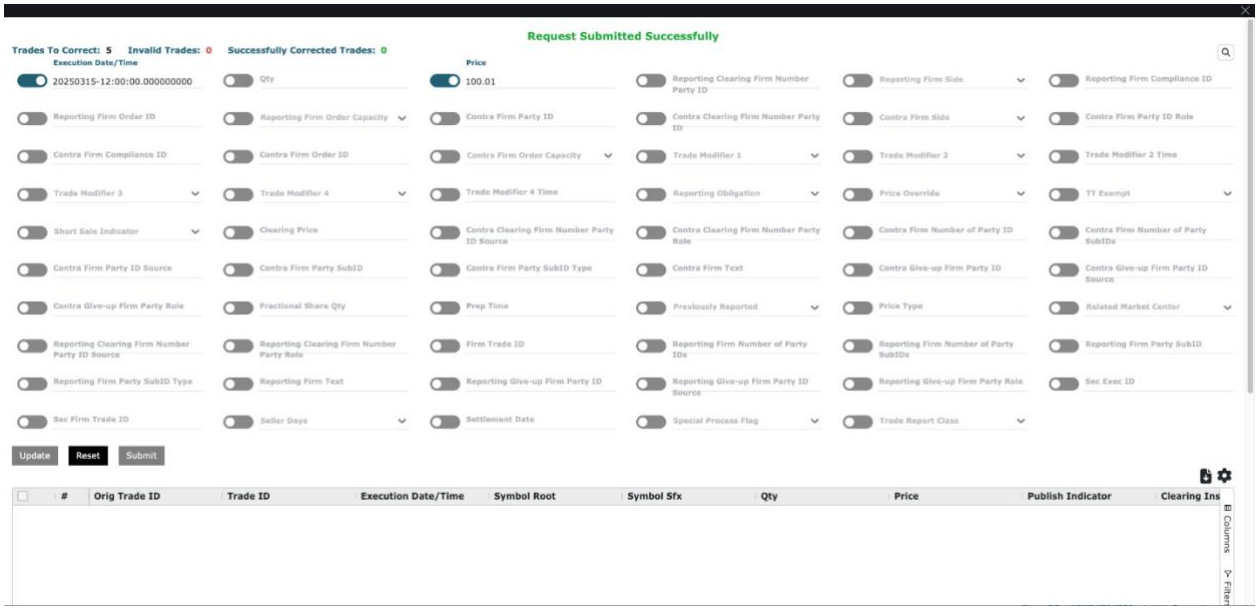


- Submit the corrected trades
  - Click the “submit” button to submit all the trades in the tale,
    - Submit button will be able to click if all the trades are good to submit.

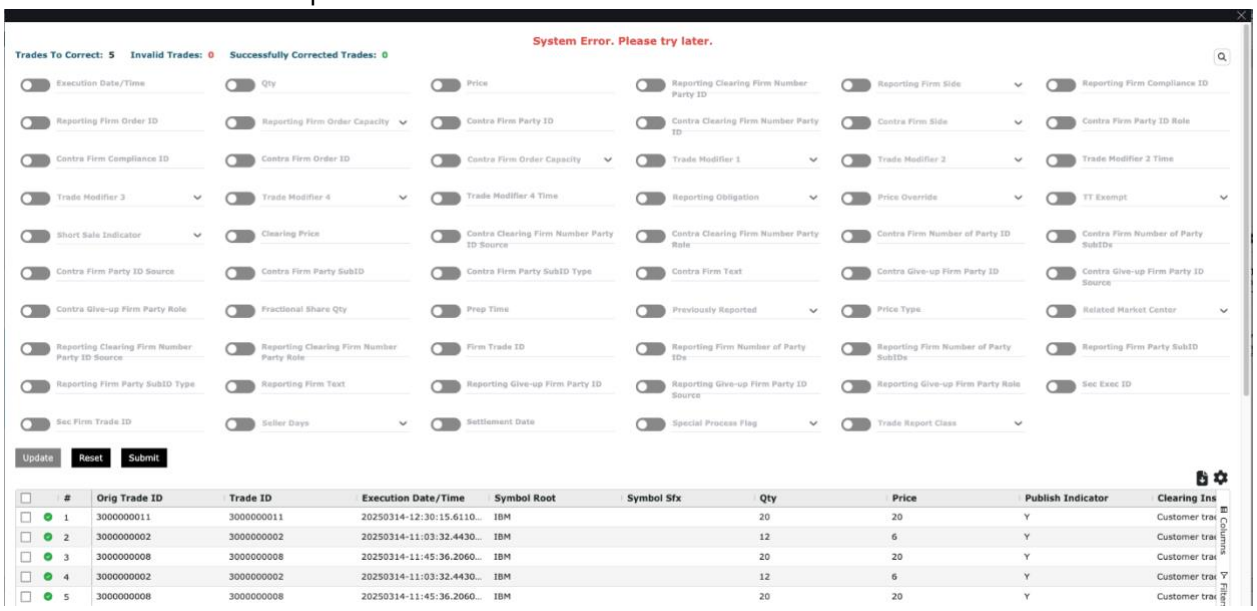




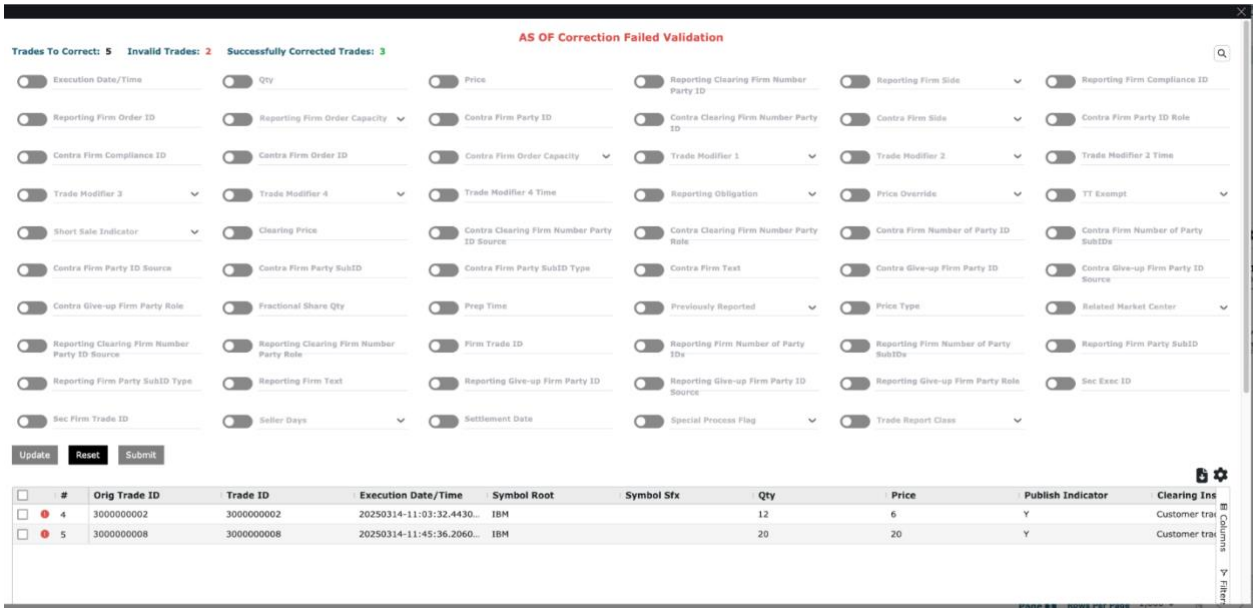
- Send Corrected Trades
  - All the trades success to report



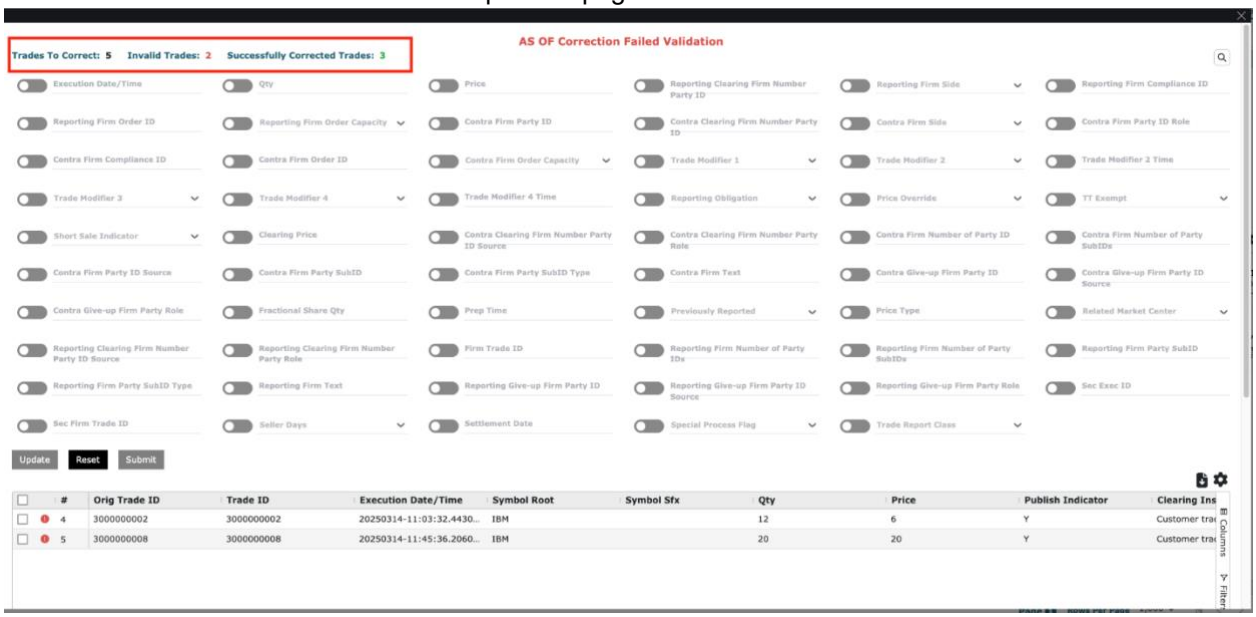
- All the trades fail to report



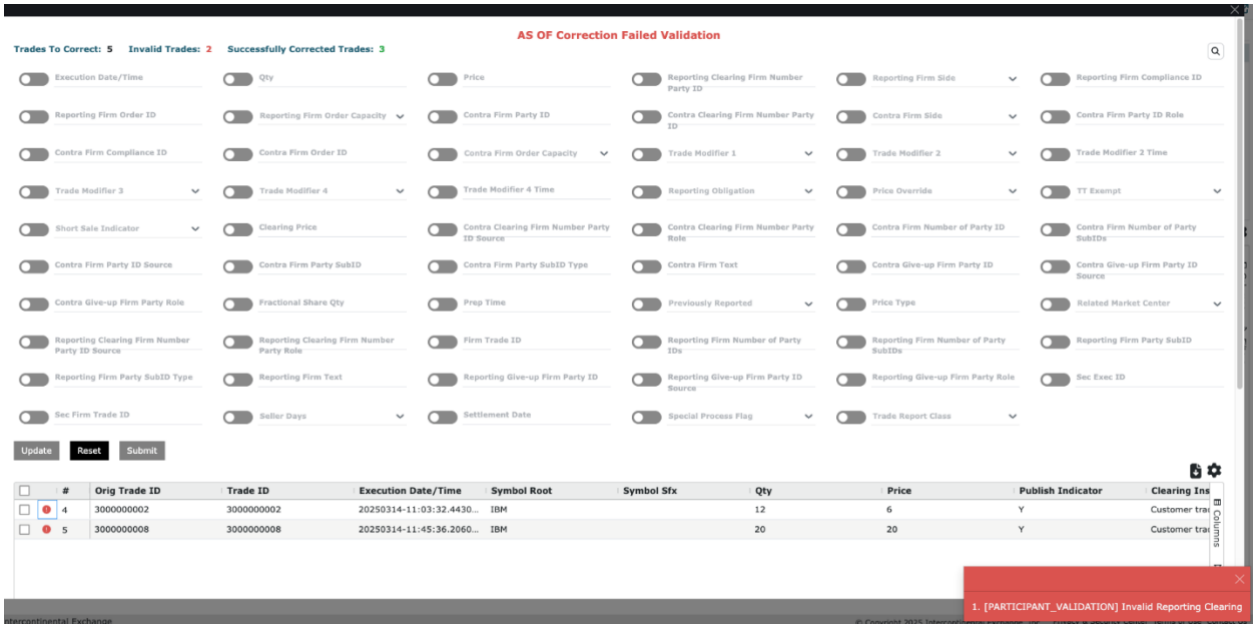
- Part of trades fail to report



7. The successfully corrected trades are removed from the table.
8. The trades that failed to correct are kept in the table.
9. The information is listed at the top of the page.



10. The invalid data in the trades that failed to report are marked with red border.
11. Click red exclamation, and the detail of invalid data are listed at pop-up window.

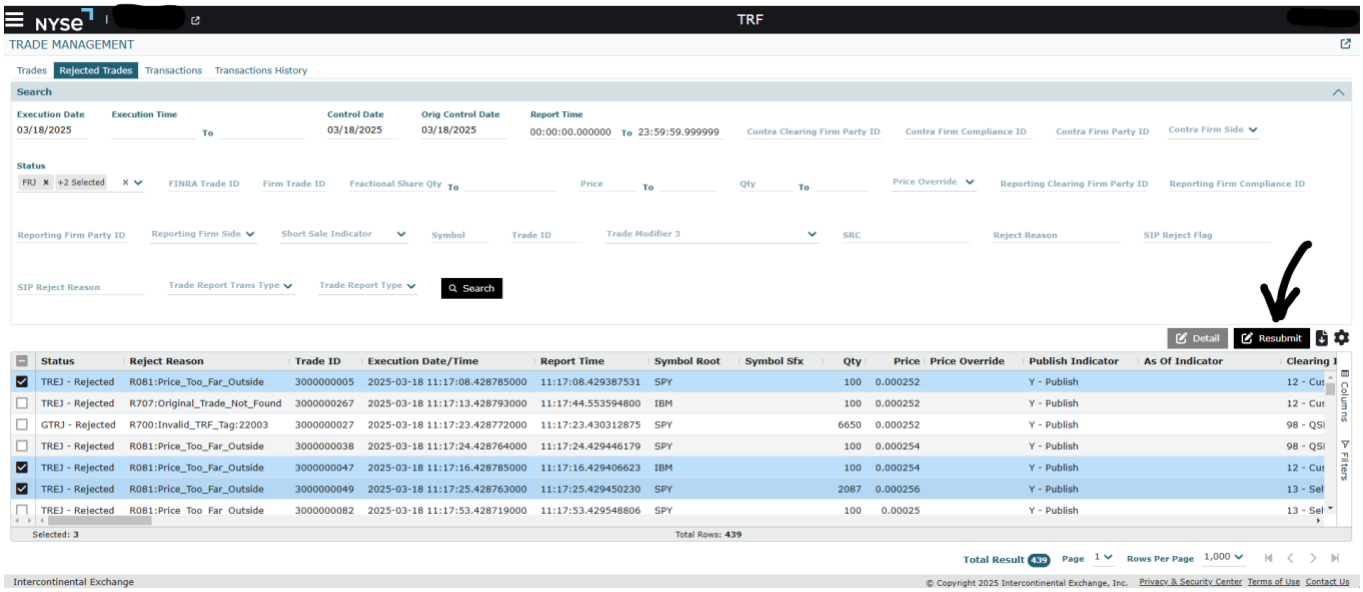


12. Edit the failed trades and resubmit to correct. Or quit the page.

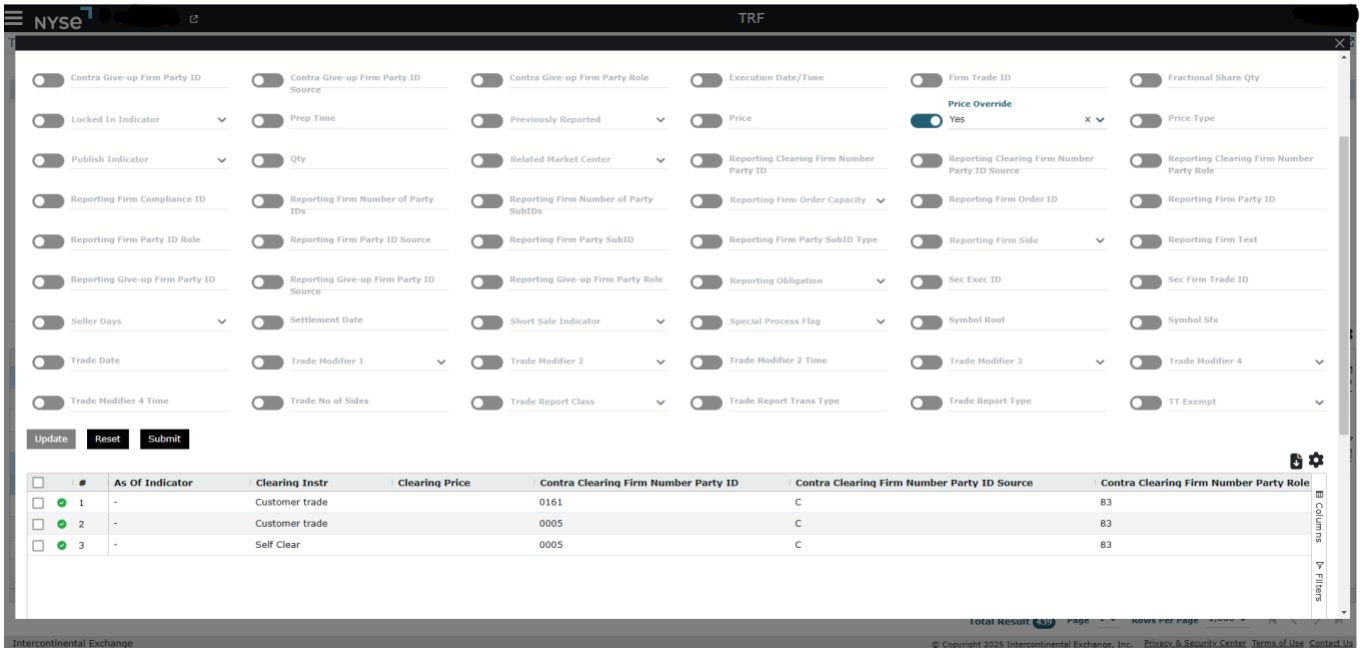
*Firms can select or multiple trade reports to modify

4.2 Rejected Trades Tab

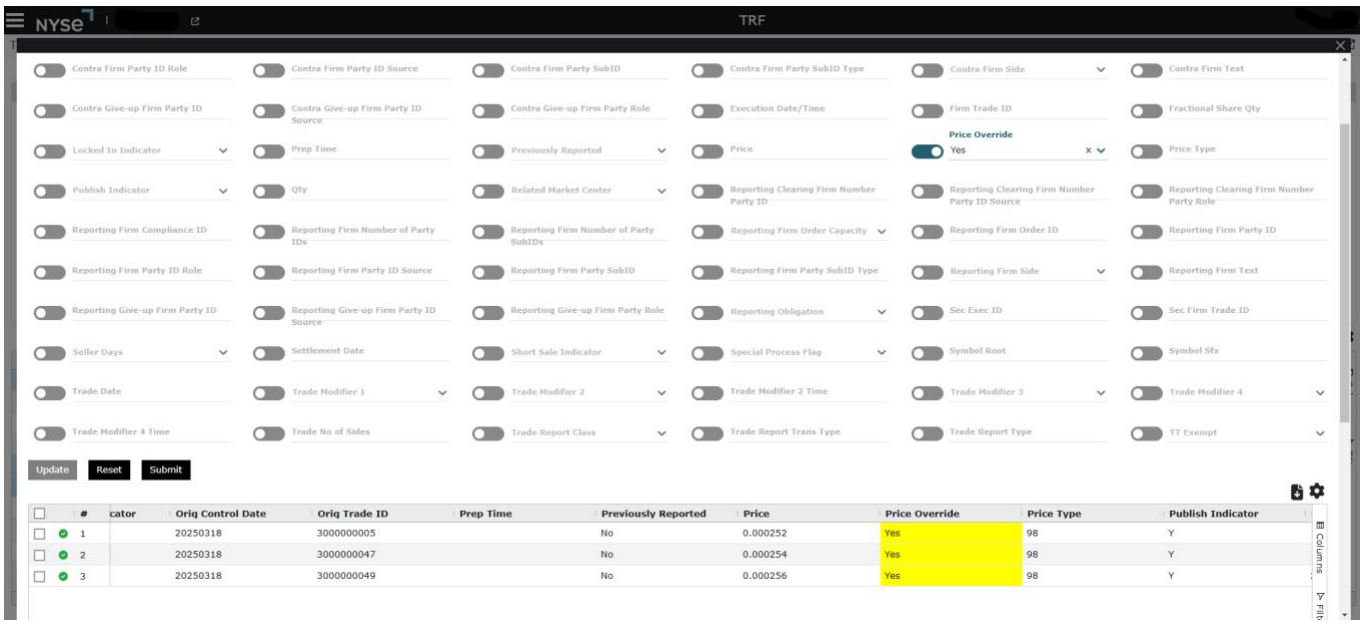
- Rejected Trades tab displays ALL reject types
    - Engine Reject - TREJ - Trade report passed Gateway validations but rejected on the Engine
- FINRA Reject - FRJ - Trade report passed NYSE TRF validations but rejected at FINRA
    - Gateway Reject - GTRJ -Trade report rejected on the Gateway and never got sent to the Engine
- Users can Resubmit rejected trades one by one or in Bulk by selecting the desired report(s) to resubmit



- After selecting Resubmit, a window will populate to allow user to select which field to correct/update before Resubmitting. In this example, the user is setting the Price Override Flag to Yes on three trade reports.



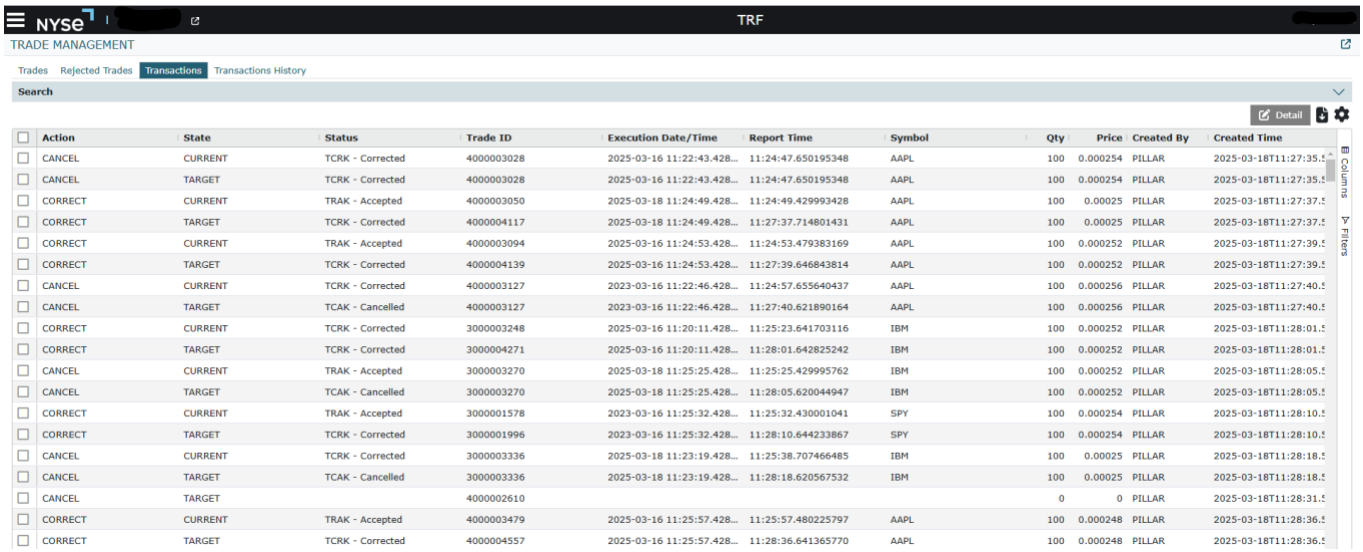
- Users can confirm the fields updated by the field being highlighted in yellow before Resubmitting



- Once the user confirms the values in the fields, they can resubmit.
- Users can check the status of the Resubmitted trade report on the Trades Tab

4.3 Transactions Tab

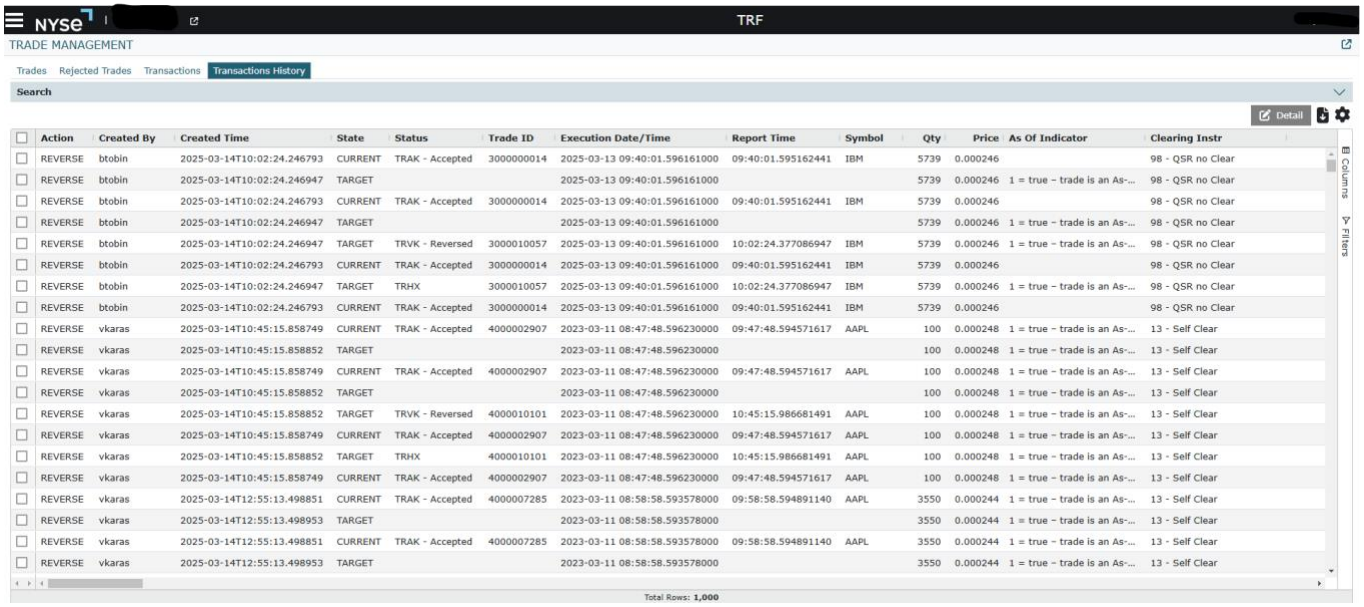
- Transactions tab displays all actions taken by member firms on T-Date



Action	State	Status	Trade ID	Execution Date/Time	Report Time	Symbol	Qty	Price	Created By	Created Time
CANCEL	CURRENT	TCRK - Corrected	4000003028	2025-03-16 11:22:43.428...	11:24:47.650195348	AAPL	100	0.000254	PILLAR	2025-03-18T11:27:35.5
CANCEL	TARGET	TCRK - Corrected	4000003028	2025-03-16 11:22:43.428...	11:24:47.650195348	AAPL	100	0.000254	PILLAR	2025-03-18T11:27:35.5
CORRECT	CURRENT	TRAK - Accepted	4000003050	2025-03-18 11:24:49.428...	11:24:49.429993428	AAPL	100	0.00025	PILLAR	2025-03-18T11:27:37.5
CORRECT	TARGET	TCRK - Corrected	4000004117	2025-03-18 11:24:49.428...	11:27:37.714801431	AAPL	100	0.00025	PILLAR	2025-03-18T11:27:37.5
CORRECT	CURRENT	TRAK - Accepted	4000003094	2025-03-16 11:24:53.428...	11:24:53.479383169	AAPL	100	0.000252	PILLAR	2025-03-18T11:27:39.5
CORRECT	TARGET	TCRK - Corrected	4000004139	2025-03-16 11:24:53.428...	11:27:39.646843814	AAPL	100	0.000252	PILLAR	2025-03-18T11:27:39.5
CANCEL	CURRENT	TCRK - Corrected	4000003127	2023-03-16 11:22:46.428...	11:24:57.655640437	AAPL	100	0.000256	PILLAR	2025-03-18T11:27:40.5
CANCEL	TARGET	TCAK - Cancelled	4000003127	2023-03-16 11:22:46.428...	11:27:40.621890164	AAPL	100	0.000256	PILLAR	2025-03-18T11:27:40.5
CORRECT	CURRENT	TCRK - Corrected	3000003248	2025-03-16 11:20:11.428...	11:25:23.641703116	IBM	100	0.000252	PILLAR	2025-03-18T11:28:01.5
CORRECT	TARGET	TCRK - Corrected	3000004271	2025-03-16 11:20:11.428...	11:28:01.642825242	IBM	100	0.000252	PILLAR	2025-03-18T11:28:01.5
CANCEL	CURRENT	TRAK - Accepted	3000003270	2025-03-18 11:25:25.428...	11:25:25.429995762	IBM	100	0.000252	PILLAR	2025-03-18T11:28:05.5
CANCEL	TARGET	TCAK - Cancelled	3000003270	2025-03-18 11:25:25.428...	11:28:05.620044947	IBM	100	0.000252	PILLAR	2025-03-18T11:28:05.5
CORRECT	CURRENT	TRAK - Accepted	3000001578	2023-03-16 11:25:32.428...	11:25:32.430001041	SPY	100	0.000254	PILLAR	2025-03-18T11:28:10.5
CORRECT	TARGET	TCRK - Corrected	3000001996	2023-03-16 11:25:32.428...	11:28:10.644233867	SPY	100	0.000254	PILLAR	2025-03-18T11:28:10.5
CANCEL	CURRENT	TCRK - Corrected	3000003336	2025-03-18 11:23:19.428...	11:25:38.707466485	IBM	100	0.00025	PILLAR	2025-03-18T11:28:18.5
CANCEL	TARGET	TCAK - Cancelled	3000003336	2025-03-18 11:23:19.428...	11:28:18.620567532	IBM	100	0.00025	PILLAR	2025-03-18T11:28:18.5
CANCEL	TARGET		4000002610				0	0	PILLAR	2025-03-18T11:28:31.5
CORRECT	CURRENT	TRAK - Accepted	4000003479	2025-03-16 11:25:57.428...	11:25:57.480225797	AAPL	100	0.000248	PILLAR	2025-03-18T11:28:36.5
CORRECT	TARGET	TCRK - Corrected	4000004557	2025-03-16 11:25:57.428...	11:28:36.641365770	AAPL	100	0.000248	PILLAR	2025-03-18T11:28:36.5

4.4 Transactions History Tab

- Transactions History is a historical lookback at actions taken by member firms



Action	Created By	Created Time	State	Status	Trade ID	Execution Date/Time	Report Time	Symbol	Qty	Price	As Of Indicator	Clearing Instr
REVERSE	btobin	2025-03-14T10:02:24.246793	CURRENT	TRAK - Accepted	3000000014	2025-03-13 09:40:01.596161000	09:40:01.595162441	IBM	5739	0.000246		98 - QSR no Clear
REVERSE	btobin	2025-03-14T10:02:24.246947	TARGET			2025-03-13 09:40:01.596161000			5739	0.000246	1 = true – trade is an As-...	98 - QSR no Clear
REVERSE	btobin	2025-03-14T10:02:24.246793	CURRENT	TRAK - Accepted	3000000014	2025-03-13 09:40:01.596161000	09:40:01.595162441	IBM	5739	0.000246		98 - QSR no Clear
REVERSE	btobin	2025-03-14T10:02:24.246947	TARGET			2025-03-13 09:40:01.596161000			5739	0.000246	1 = true – trade is an As-...	98 - QSR no Clear
REVERSE	btobin	2025-03-14T10:02:24.246947	TARGET	TRVK - Reversed	3000010057	2025-03-13 09:40:01.596161000	10:02:24.377086947	IBM	5739	0.000246	1 = true – trade is an As-...	98 - QSR no Clear
REVERSE	btobin	2025-03-14T10:02:24.246793	CURRENT	TRAK - Accepted	3000000014	2025-03-13 09:40:01.596161000	09:40:01.595162441	IBM	5739	0.000246		98 - QSR no Clear
REVERSE	btobin	2025-03-14T10:02:24.246947	TARGET	TRHX	3000010057	2025-03-13 09:40:01.596161000	10:02:24.377086947	IBM	5739	0.000246	1 = true – trade is an As-...	98 - QSR no Clear
REVERSE	btobin	2025-03-14T10:02:24.246793	CURRENT	TRAK - Accepted	3000000014	2025-03-13 09:40:01.596161000	09:40:01.595162441	IBM	5739	0.000246		98 - QSR no Clear
REVERSE	vkaras	2025-03-14T10:45:15.858749	CURRENT	TRAK - Accepted	4000002907	2023-03-11 08:47:48.596230000	09:47:48.594571617	AAPL	100	0.000248	1 = true – trade is an As-...	13 - Self Clear
REVERSE	vkaras	2025-03-14T10:45:15.858852	TARGET			2023-03-11 08:47:48.596230000			100	0.000248	1 = true – trade is an As-...	13 - Self Clear
REVERSE	vkaras	2025-03-14T10:45:15.858749	CURRENT	TRAK - Accepted	4000002907	2023-03-11 08:47:48.596230000	09:47:48.594571617	AAPL	100	0.000248	1 = true – trade is an As-...	13 - Self Clear
REVERSE	vkaras	2025-03-14T10:45:15.858852	TARGET			2023-03-11 08:47:48.596230000			100	0.000248	1 = true – trade is an As-...	13 - Self Clear
REVERSE	vkaras	2025-03-14T10:45:15.858852	TARGET	TRVK - Reversed	4000010101	2023-03-11 08:47:48.596230000	10:45:15.986681491	AAPL	100	0.000248	1 = true – trade is an As-...	13 - Self Clear
REVERSE	vkaras	2025-03-14T10:45:15.858749	CURRENT	TRAK - Accepted	4000002907	2023-03-11 08:47:48.596230000	09:47:48.594571617	AAPL	100	0.000248	1 = true – trade is an As-...	13 - Self Clear
REVERSE	vkaras	2025-03-14T10:45:15.858852	TARGET	TRHX	4000010101	2023-03-11 08:47:48.596230000	10:45:15.986681491	AAPL	100	0.000248	1 = true – trade is an As-...	13 - Self Clear
REVERSE	vkaras	2025-03-14T10:45:15.858749	CURRENT	TRAK - Accepted	4000002907	2023-03-11 08:47:48.596230000	09:47:48.594571617	AAPL	100	0.000248	1 = true – trade is an As-...	13 - Self Clear
REVERSE	vkaras	2025-03-14T12:55:13.498851	CURRENT	TRAK - Accepted	4000007285	2023-03-11 08:58:58.593578000	09:58:58.594891140	AAPL	3550	0.000244	1 = true – trade is an As-...	13 - Self Clear
REVERSE	vkaras	2025-03-14T12:55:13.498953	TARGET			2023-03-11 08:58:58.593578000			3550	0.000244	1 = true – trade is an As-...	13 - Self Clear
REVERSE	vkaras	2025-03-14T12:55:13.498851	CURRENT	TRAK - Accepted	4000007285	2023-03-11 08:58:58.593578000	09:58:58.594891140	AAPL	3550	0.000244	1 = true – trade is an As-...	13 - Self Clear
REVERSE	vkaras	2025-03-14T12:55:13.498953	TARGET			2023-03-11 08:58:58.593578000			3550	0.000244	1 = true – trade is an As-...	13 - Self Clear

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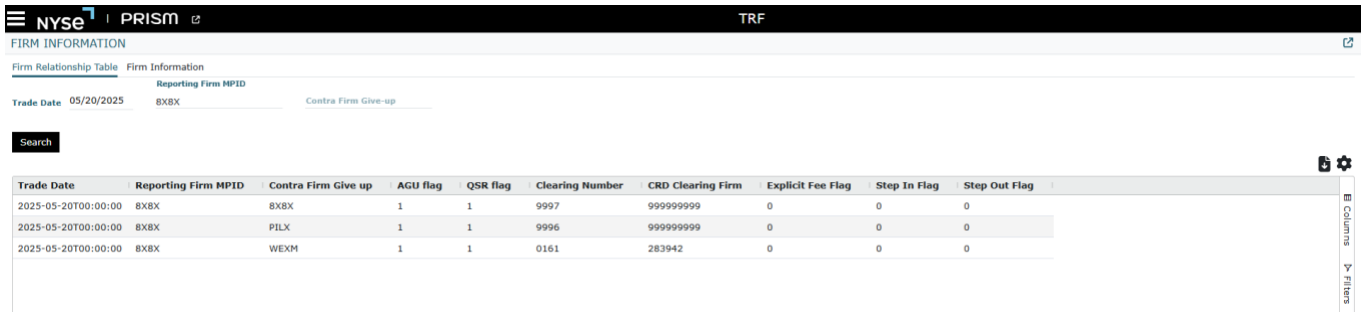
5. Firm Information

Firm Information Tab includes general information about the firm along with a list of its relationships on file.

5.1 Firm Relationship Table

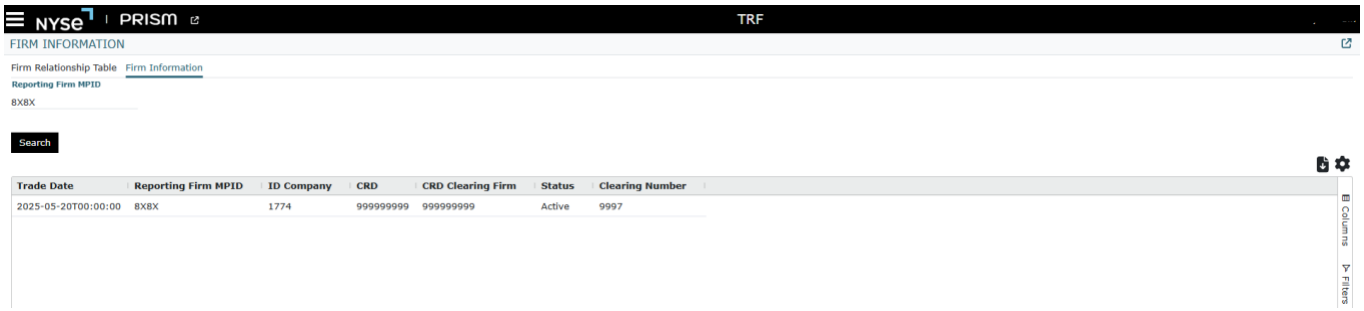
- Details firms' relationships on file
  - 0 = No; 1 = Yes



Trade Date	Reporting Firm MPID	Contra Firm Give up	AGU flag	QSR flag	Clearing Number	CRD Clearing Firm	Explicit Fee Flag	Step In Flag	Step Out Flag
2025-05-20T00:00:00	8X8X	8X8X	1	1	9997	999999999	0	0	0
2025-05-20T00:00:00	8X8X	PILX	1	1	9996	999999999	0	0	0
2025-05-20T00:00:00	8X8X	WEXM	1	1	0161	283942	0	0	0

5.1 Firm Information

- Details firm's information



Trade Date	Reporting Firm MPID	ID Company	CRD	CRD Clearing Firm	Status	Clearing Number
2025-05-20T00:00:00	8X8X	1774	999999999	999999999	Active	9997

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Appendix A: Document Version History

Date	Version Number	Change Summary
5/23/2025	1.0	Initial publication

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