



OATS Web Interface User Guide

The OATS Web Interface User Guide provides an overview of the OATS Web Interface. It describes the functionality and steps used to navigate, view, and take action on OATS data and feedback.

This User Guide is a companion document to the following OATS Resources:

- o **OATS Reporting Technical Specifications**, www.finra.org/oatsspecifications. This document provides technical information related to OATS Reporting, including order reporting responsibilities, ROE and FORE layout, and descriptions of each order report.
- o **OATS Registration and User Entitlement Guide**, www.finra.org/oats/registration. This document provides all of the information needed to Register for and create users in OATS.
- o **OATS Frequently Asked Questions**, located at www.finra.org/oatsfaqs.
- o **OATS Data Dictionary**, www.finra.org/oats/datadictionary. This resource provides a description of all data and feedback on the OATS Web Interface, including OATS fields definitions, allowable values, and conditions that make fields mandatory.

If you have a problem or question and cannot find the solution in the *OATS Web Interface User Guide* or in the above mentioned OATS Resources, please contact FINRA Business and Technology Support Services. Technology support is available from 8:00 a.m. Monday to 8:00 a.m. Saturday, Eastern Time. Business support is available Monday through Friday, 8:00 a.m. to 6:00 p.m., Eastern Time.

	Technical Support	Business Support
Telephone:	800-321-6273	800-321-6273
Fax:	240-386-6499	240-386-4841
Email:	supportservices@finra.org	supportservices@finra.org
WWW:	http://www.finra.org	http://www.finra.org

To get more information about OATS, visit the OATS Web Pages at <http://www.finra.org/oats>.

Release Notes

The changes described in this edition of the *OATS Web Interface User Guide* will be available in the OATS Production environment on April 26, 2010 and in the OATS Certificate Test environment on April 12, 2010.

The following is an overview of enhancements to the OATS Web Interface:

➤ **ROE Repair**

- o The Automatic Repair process for orders rejecting for “Order Does Not Exist in OATS” has been updated. OATS will automatically repair secondary events that rejected within 5 business days of the rejection date of the repaired New or Cancel/Replace report.
- o When viewing Related Events, OATS will present all related events within the most recent 90 calendar days.
- o Users are able to download rejections presented in a filtered result. This change provides users with the ability to download unrepaired rejections.
- o Users are able to select multiple MPIDs when searching rejections.

➤ **FORE Status**

- o Users are able to export FORE Status information.
- o The OATS ROE Count has replaced the Firm ROE Count in the summary table.

➤ **Submit Events**

- o Users are able to download and/or submit Pending Events for a filtered result. For example, a user can filter Pending Events by a specific MPID, then download and submit those events.
- o The Shares Quantity will be displayed in the pending events table.

➤ **User Preferences**

- o Users are able to specify the number of items (records) presented on a page. Choices are 25, 50 or 100 items per page.

Chapter 1 Introduction to the Order Audit Trail Web Interface

The OATS Web Interface is intended for all Order Sending Organizations (OSOs) — including member firms and third parties acting on behalf of member firms. For both the Customer Test (CT) and Production (PD) environments, there is a corresponding OATS Web Interface with duplicate features.

The OATS Web Interface provides access to daily reporting statistics, rejections, and feedback related to OATS Reporting. It contains features and functions to:

- o Obtain feedback related to FORE files, ROE submissions, Matching results, and Out of Sequence results for all business days within the most recent 90 calendar days
- o View, repair, and resubmit Rejected ROEs
- o Create and submit OATS Reportable Order Events
- o Create and edit OATS Reporting Relationships
- o Add and edit OATS Contacts

OATS Registration and User Roles

OATS access is granted through the OATS Registration process. Firms manage their OATS access through the FINRA Entitlement system. Using this system, users can edit personal account information and reset their password. For more information on the OATS Registration process and using the FINRA Entitlement system, refer to the *OATS Registration and User Entitlement Guide*.

There are four user roles in the OATS Application. Each user role has a different level of access in OATS, and only three of the four user roles has access to the OATS Web Interface.

The OATS user roles include:

1. **OSO Administrator**

OSO Administrators have the highest privilege level. They are responsible for managing all OATS user accounts for their organization. There may be more than one OSO Administrator at an OSO. At least one OSO Administrator will be designated as the primary Account Administrator in the FINRA Entitlement system.

OATS Web Interface privileges for OSO Administrators include:

- o Create, View, and Transmit order data
- o View and repair rejected ROEs
- o View, create and edit Reporting Relationships
- o View, create and edit OATS Contacts
- o Obtain feedback from OATS, including OATS Announcements, Reporting Statistics, Out of Sequence and Match Results
- o Create and edit User Preferences

OSO Administrators also have privileges in the FINRA Entitlement system. Refer to the *OATS Registration and User Entitlement Guide* for information on how to use the FINRA Entitlement system for managing OATS Users. OSO Administrators privileges in the FINRA Entitlement system include:

- o Create, edit, and reset passwords for OSO/Firm User and OSO Read-Only user accounts using the FINRA Entitlement system.
- o Request to add new and edit other OSO Administrators and FTP/IFT user accounts to FINRA Entitlement

2. OSO/Firm User

OATS Web Interface privileges for OSO/Firm Users include:

- o Create, View, and Transmit order data
- o View and repair rejected ROEs
- o View Reporting Relationships
- o View OATS Contacts
- o Obtain feedback from OATS, including OATS Announcements, Reporting Statistics, Out of Sequence and Match Results
- o Create and edit User Preferences

3. OSO Read-Only User

OATS privileges for OSO Read-Only Users include:

- o View order data
- o View rejected ROEs
- o Obtain feedback from OATS, including OATS Announcements, Reporting Statistics, Out of Sequence and Matching Statistics
- o Create and edit User Preferences

4. FTP/IFT User

FTP/IFT Users transmit data to OATS via FTP or IFT. FTP/IFT users do not have access to the OATS Web Interface. If access to the OATS Web Interface is needed, an additional OATS User account must be created.



Note: For OATS Web Users, a user needs only one account to access both the Production and Customer Test environments.

Accessing the OATS Application

To access and exchange order information with the OATS application, firms need a domestic 128-bit encrypted version of one of the following web browsers:

- o Internet Explorer 6.x – 8.0
- o Firefox 2.x – 3.5

Why Strong Encryption Is Required

Due to the confidential nature of the market data you exchange with OATS, all browser software used to communicate with OATS must use 128-bit Strong Encryption, rather than 40-bit Standard Encryption. Strong Encryption provides the highest level of protection to information transmitted over the Internet, and is particularly suited to confidential on-line transactions.

OATS Web Addresses

The OATS Customer Test and Production environments are available via the OATS addresses listed below. Use the Production environment to report production data.

Access Type	Customer Test (CT)	Production (PD)
OATS Web Interface via the FINRA Firm Gateway	https://firmstest.finra.org	https://firms.finra.org

Web Interface Features and Functions

The OATS Web Interface is designed to apply consistent features and functions across all screens of the site. This section of the User Guide defines those features.

Data Perspective

The OATS Web Interface provides up to three data perspectives by which to view the data. Perspectives allow users to see the data aggregated in different ways. The available perspectives are:

- o **Firm** - Presents all data for the firm associated with the logged in user. A firm may report for itself, or other Order Sending Organizations may report for the firm.
- o **Transmitting** – Presents all data transmitted to OATS by the Order Sending Organization (OSO) associated with the logged in user. Transmitting OSOs may ONLY view and take action on data related to the firms for which they sent data.
- o **Reporting** – For the OSO associated with the logged in user, presents all data for which the OSO is authorized to view or take action. Reporting OSOs may ONLY view and take action on data which a firm has authorized them to view.

When a user logs in, OATS will determine which of the above perspectives is applicable. For example, a user associated with a Service Provider who is NOT a member of FINRA, NASDAQ, or NASDAQ BX may only see the Transmitting Perspective. Another example is a user associated with a firm that submits its own data may only see the Firm Perspective.

The **OATS Summary** page provides the mechanism to select the preferred perspective to view the data. The View as drop down list includes the perspectives applicable to the user. Once selected, the perspective will be applied to data presented on all screens. Available search filters and their list of values are populated based on the user's selected perspective.

To change the perspective, navigate to the **OATS Summary** page, and make a new selection. Users are able to choose a default perspective on the **User Preferences** page, which is described in Chapter 6 of this document.

OATS Summary	View as: TRANSMITTING ▼
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Filtering

All data screens in the OATS Web Interface include data filters that allow users to search or filter the presented data. Each screen has a set of filters that are applicable to the presented data.

Begin Date 10/20/2009	End Date 10/20/2009	FORE Status ALL ▼	MPID ALL ▼	Transmitting OSO ALL ▼	Go Reset
--	--	--	---	---	--

When a screen is initially presented, default values will be used. In most cases, default values include presenting all data available for the most recent OATS Processing Date which has been completed. From that point, a user may filter the data or navigate away from the page.

For all screens where filtering is available, Go and Reset buttons are included. On click, Go will refresh the screen, applying all selected filters. On click, Reset will refresh the screen, applying the default filter values for the screen.

Sorting

In addition to filtering, users are able to further customize their view of data by sorting. All data screens can be sorted in ascending and descending order by clicking on the heading of the column for which they want to sort.

MPID	Issue Symbol	Branch/Sequence Number	Execution Timestamp	Firm Order ID	Firm ROE ID	Market Center ID	Event Type Code	Unmatched Code	
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By default, each screen presents data sorted in a manner that is applicable to the subject matter. For example, the Rejection Summary data is sorted by Rejection Code.

Expand and Collapse Records

Some of the data tables presented in the OATS Web Interface include records with many associated fields. To manage the information and the user's ability to sort and filter the data, the most important data fields have been selected to be initially presented. However, the supporting details of each record is available upon request by the user.

When a table is presented that includes a column populated with expand icons , a user is able to expand one, some, or all records. When a record is expanded, the collapse icon will appear. To expand or collapse the details of all records on the page, click on the icon column

heading. To expand or collapse the details of a specific record, click on the icon associated with the record.

Results 1 - 17 of 17									
Firm FORE ID	Process Date	Status	Transmitting OSO	MPID	FORE Received Timestamp	Firm ROE Count	Transfer Method	Exception Reasons	
BETA_zzzzt_1012	10/13/2009	A	FINRAOSO	ZZZY	10/13/2009 16:03:54	2,586	IFT		+
BETA_zzzzt_1013	10/13/2009	A	FINRAOSO	ZZZY	10/13/2009 15:57:14	2,586	IFT		+
Test_ZZZY_1015_1	10/13/2009	A	FINRAOSO	ZZZY	10/13/2009 15:57:00	1,970	IFT		-
Transmitting OSO ID 4664 User ID qcftp FORE Generation Date 10/15/2009 FORE File Size 237655 FORE File Name ZZZY_1015.txt FORE File Header #HD#,OATS D1999-01,20091015,Test_ZZZY_1015_1,4664,,,ZZZY, FORE File Trailer #TR#,1970 OATS ROE Count 1,970 OATS FORE ID 7190706289 FORE Validation End TS 10/13/2009 15:57:08 Syntax/Semantic Validation End TS 10/16/2009 12:12:01 Context/ Duplicate Processing End TS 10/16/2009 12:46:51									
Test_ZZZY_1012_1	10/13/2009	A	FINRAOSO	ZZZY	10/13/2009 16:03:43	1,970	IFT		+

Download

Most of the OATS feedback on the OATS Web Interface is available to download. Downloading OATS feedback provides users with a comma-delimited text file which the user is able to save and manage the information outside the OATS Interface.

When a table is presented that includes a column populated with download icons , the information associated with the particular record can be downloaded. When the **Download** button is presented, the user can download all records for the particular feedback screen. When the icon or the button is clicked, the user is presented with a screen and links for each download file that has been created.

You have 16 record(s) to download. Upto 10,000 may be downloaded once. Click on any link to begin downloading.

[Download file\(1\) of 1](#)

When the file link is clicked, the user is presented with a screen that includes the comma-delimited text. Refer to Appendix C of the *OATS Technical Specifications* for the definition and layout of each feedback type. This information formally defines every column and datatype of the text file created for each feedback type.

```
#QS#,OATS D1999-01,20091023,99999998,1,Y
#QD#,3039,ZZZY,20091015093422,00001218116abc-002,TLSYY,NW,20091015101543,CR,20091015093422
#QD#,3039,ZZZY,20091012093422,00001218116abc-002,TLSYY,NW,20091012101243,CR,20091012093422
#QD#,3039,ZZZY,20091012000000,MRZ427w8T1,MSFT,OR,20091012151606,CR,20091012000000
#QD#,3039,ZZZY,20091012000000,ABC74SM,TSEM,OR,20091012102131,CR,20091012000000
#QD#,3039,ZZZY,20091012000000,ABC74TB,MSFT,OR,20091012153548,CR,20091012000000
#QD#,3039,ZZZY,20091012000000,ABC74TJ,MSFT,OR,20091012154914,CR,20091012000000
#QD#,3039,ZZZY,20091012000000,ABC74TK,MSFT,OR,20091012154949,CR,20091012000000
#QD#,3039,ZZZY,20091012000000,ABC74T0,MSFT,OR,20091012134554,CR,20091012000000
#QD#,3039,ZZZY,20091012000000,ABC74T6,MSFT,OR,20091012144154,CR,20091012000000
#QD#,3039,ZZZY,20091015000000,MRZ427w8T1,MSFT,OR,20091015151606,CR,20091015000000
#QD#,3039,ZZZY,20091015000000,ABC74SM,TSEM,OR,20091015102131,CR,20091015000000
#QD#,3039,ZZZY,20091015000000,ABC74TB,MSFT,OR,20091015153548,CR,20091015000000
#QD#,3039,ZZZY,20091015000000,ABC74TJ,MSFT,OR,20091015154914,CR,20091015000000
#QD#,3039,ZZZY,20091015000000,ABC74TK,MSFT,OR,20091015154949,CR,20091015000000
#QD#,3039,ZZZY,20091015000000,ABC74T0,MSFT,OR,20091015134554,CR,20091015000000
#QD#,3039,ZZZY,20091015000000,ABC74T6,MSFT,OR,20091015144154,CR,20091015000000
#QT#,16
```

To save the text file, do the following:

1. From the browser menu, select **File → Save As**
2. Enter the **File Name**
3. Select **Text (*.txt)** from the **Save as Type** list
4. Click **Save**



Tip: There are several methods to convert text files to data files. The following procedure provides steps to convert a text file to an Excel file:

1. Open Excel
2. From the Excel menu, select **Data → Get External Data → Import Text File**
3. Select the saved text file and click **Import**
4. Select **Delimited** as the Original Data Type, click **Next**
5. Check **Comma** in the Delimiters box, click **Next**
6. Holding the Shift key, scroll all the way to the right in the Data Preview window and click on the last column (this will highlight all columns in the file)
7. Select **Text** in as the Column Data Format, click **Finish**, then click **OK**
8. Save the File

Print Preview

The Print Preview feature provides the ability to view the results of a screen in a single page. On pages where this feature is available, click **Print Preview**.

OATS Reporting Summary

Order Audit Trail System - Production Environment

FINRA Test Firm

Selection Criteria

OATS Processing Date 08/03/2009 - 10/21/2009

MPID ALL

Printed: 10/23/2009 05:01:18 PM

The first page of the Print Preview includes the OATS environment, Order Sending Organization name, screen name, selection criteria, and print timestamp. Users can print this for record keeping. Viewing the results using the Print Preview format also provides the ability to compare results across days while scrolling.

Fore Status - 10/16/2009			
Accepted		1	
Rejected		0	
Total		1	
ROE Statistics - 10/16/2009			
Type	Description	Received	Rejected
NW	New	134	14
	New with Cancel	0	0
	New with Desk	0	0
	New with Cancel and Desk	2	0
OR	Combined Order/Route	58	2
	Combined Order/Route with Cancel	0	0
	Combined Order/Route with Desk	0	0
	Combined Order/Route with Cancel and Desk	0	0
OE	Combined Order/Execution	0	0
	Combined Order/Execution with Desk	0	0
CR	Cancel/Replace Report	5	5
RT	Routing Report	14	6
DS	Desk Report	0	0
EX	Execution Report	51	51
CL	Cancel Report	32	32
	Total	186	110
	Late	0	
	Resubmit	186	
Out of Sequence - 10/16/2009			
Cancel		0	
Cancel/Replace		0	
Desk		0	
Execution		0	
Route		0	



Note: As of 11/2009, this feature is only available on the Reporting Summary page.

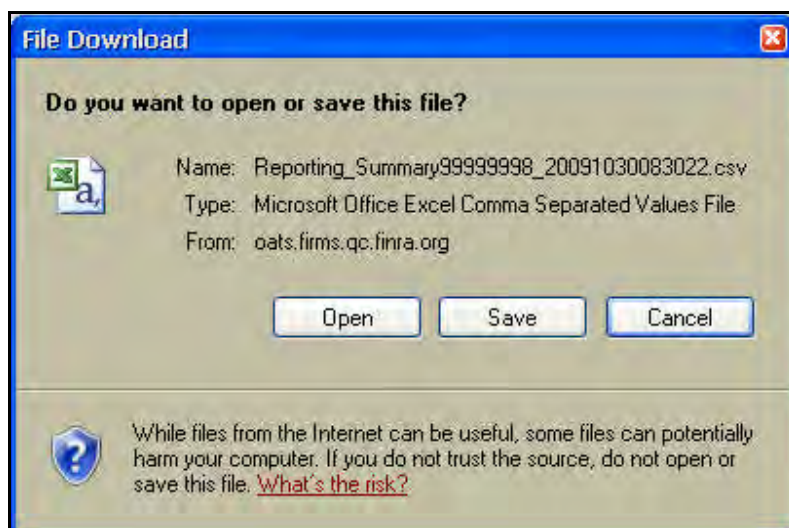
Export

The Export function creates a comma separated values file (delimited data file) that can be used to manage, sort, and aggregate the data outside the OATS Interface.

The following rules apply to the Export file:

1. First record includes the column header for all fields in the export file.
2. Last record includes create timestamp and user ID that requested the export.
3. A blank value indicates that the value is NOT available or it has NOT been processed.

On pages where this feature is available, click **Export**.



To save the data file, select **Save** from the Alert Window. To Open the data file, select **Open**. The file will be opened with the application associated with .csv files. If the file type is not assigned an application, open the file using Excel or another spreadsheet application.

Processing	OSO	MPID	Total FOR	Accepted	Rejected	F Total	ROE	Total Reje	NW	NW cncd	NW desk	NW cncd d	OR	OR cncd	OR desk	OR cncd d	OE	O
20091012	N/A	ALL	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
20091013	N/A	ALL	16	16	0	12056	5624	1954	10	188	8	3000	18	24	0	60		
20091013	N/A	ZZZY	16	16	0	12056	5624	1954	10	188	8	3000	18	24	0	60		
20091014	N/A	ALL	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
20091015	N/A	ALL	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
20091016	N/A	ALL	1	1	0	296	110	134	0	0	2	58	0	0	0	0	0	0
20091016	N/A	ZZZY	1	1	0	296	110	134	0	0	2	58	0	0	0	0	0	0
20091019	N/A	ALL	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
20091020	N/A	ALL	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
20091021	N/A	ALL	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

Viewing Event Screens

When entering new order events or repairing individual ROE rejections, OATS presents all of the fields defined for the applicable Event Type on the screen for the user to take action. Based on the user's preference, OATS can display the events in the order specified in the OATS Technical Specification or ordered by Related Fields.

Related Events View

Events pages presented in the Related Events view group fields by type. Required fields are presented in bold, are grouped together, and located at the beginning of each event for minimal clicking.



Note: The Related Events view is similar to the view in the Phase III Reporting Tool of the Legacy OATS Web Interface.

Technical Specifications View

Events pages presented in the Technical Specifications view include the defined position for each field (Seq.) and are ordered as per Appendix C of the *OATS Technical Specifications*.

ROE Repair

Execution Report

- Repaired Status - Unrepaired
- Missing or invalid Correction Deletion Timestamp
- Corrected report must be immediately preceded by a Delete/Replace report.

Order Audit Trail System - Production Environment
 FINRA Test Firm
[Technical Specifications View](#)
[Change View](#)

Seq.	Field Name	Value	Seq.	Field Name	Value
1	Record Type	#OE#	13	Trader Terminal ID	ts2
2	Event Type Code	EX	14	Reporting Exception Code	
3	Action Type Code	C- Corrected order event	15	Issue Symbol ID	SIRI
4	Firm ROE ID	558930	16	Execution Type Indicator	P- Partial
5	Correction/Deletion Timestamp		17	Leaves Quantity	295000
6	Rejected ROE Resubmit Flag	Y- Resubmitted ROE	18	Market Center ID	L- NASD/NASDAQ TRF
7	Order Receiving Firm MPID	ZZZY	19	Originating Broker/Dealer	
8	Order Received Date	20091015095121	20	Execution Price	.76
9	Firm Order ID	00001219128abc-001	21	Capacity Code	R- Riskless Principal
10	Execution Timestamp	20091015 095441	22	Rejected ROE ID	300000216920
11	Branch/Sequence Number	22399863	23	End of Record Marker	LF
12	Execution Quantity	500			



Notes Related to Viewing Events Screens:

- o Users are able to change the view of any event screen by clicking [Change View](#).
- o Users are also able to set a default view for creating events and viewing ROE rejections in the **User Preferences** page. Refer to Chapter 6 of this document for more information on **User Preferences**.

OATS Web Interface Site Map

The OATS Web Interface provides two levels of navigation. The Top Level navigation is presented as Tabs, which on-click will present users with the secondary pages available within the section. The site is organized to provide summary information at the highest level, and more detailed information on the secondary pages.

The following table describes the OATS Web Interface site map:

Top Level Tabs	Secondary pages	Description
OATS Summary [OATS Home page]		View a summary of OATS feedback for the most recent data available. View OATS Announcements and Resources.
	System Announcements/ Hot Topics	View a list of OATS Announcements
	OATS Resources	Links to various OATS related pages
Reporting & Feedback	Reporting Summary [default]	View a summary of Order Events, Late Statistics, Rejection Statistics, Out of Sequence, and Matching Statistics.
	FORE Status	View a list of FOREs received by OATS.
	Out of Sequence Summary	View Out of Sequence events summarized by reason. Navigate to the list of Out of Sequence events. Download Out of Sequence Events.

	Match Statistics & Summary	View Matching Statistics and Unmatched Events summarized by reason. Navigate to the list of Unmatched Events. Download Out of Unmatched Events.
Rejections & Repairs	Rejection Summary <i>[default]</i>	View rejections summarized by reason or ROE Status. Download ROE rejections
	ROE Repair	View a list of ROE rejections. Download and Repair ROE rejections
	Group Repair	View and Repair ROE rejections which are eligible for Group Repair.
	Submit Repairs	Navigate to the Submit Events page
Report to OATS	Submit Events <i>[default]</i>	View, Modify, Download and Submit pending events, including newly entered ROEs and repaired rejections.
	Create Order Events	Enter OATS order events
	Order Entry Preferences	Navigate to User Preferences page
Administration	User Preferences <i>[default]</i>	Stores User Preferences for views and default values
	Reporting Relationships	View, Add and Modify Firm OSO Relationships
	Contacts	View, Add and Modify OSO Contacts
	OATS Users	View OATS Users

Chapter 2 OATS Summary

The OATS Summary page is the home page to the OATS Web Interface. This page presents a summary of all OATS feedback for the most recent data available. It also includes OATS Announcements, OATS Resources and the ability to select the Data Perspective.

The screenshot displays the OATS Summary page with a 'View as: FIRM' dropdown and 'Order Audit Trail System - Production Environment' text. The page is divided into several sections:

- Hot Topics:** A text box containing a 'Final Reminder to Add OATS Principal Contact' announcement.
- System Announcements:** Two red 'New!' banners for 'OATS Maintenance TODAY' and 'Upcoming OATS Maintenance'.
- OATS Resources:** Links for 'Certificate Test Environment', 'OATS Reportable Securities', 'Technical Specifications', 'Subscriber Manual', and 'FINRA OATS FAQs', along with the 'OATS Form T' and 'OATS Helpdesk' contact information.
- FORE Status as of 10/19/2009:** A table showing 0 Accepted, 0 Rejected, and 0 Total.
- Pending Online Submissions as of 10/20/2009:** A table showing 0 New, 0 Repairs, and 0 Total.
- Reporting Statistics as of 10/19/2009:** A table showing 0 Accepted, 0 Rejected, 0 Total, 0 Late, and 0 Resubmit.
- Out of Sequence Events as of 10/19/2009:** A table showing 0 Cancel, 0 Cancel/Replace, 0 Desk, 0 Execution, and 0 Route.
- Match Statistics as of 10/16/2009:** A table with columns for Attempted, Unmatched, Unmatched Rate, and Match Rate for Order Trade, Exchange Route, Interfirm Route, and Interfirm Received.

	Attempted	Unmatched	Unmatched Rate	Match Rate
Order Trade	0	0	0%	0%
Exchange Route	0	0	0%	0%
Interfirm Route	64	64	100%	0%
Interfirm Received	0	0	0%	0%

Data presented on the OATS Summary page represents the most recent data available for each of the feedback types, including:

- o **FORE Status** – The number of accepted and rejected FOREs.
- o **Reporting Statistics** – The number of accepted, rejected, late and resubmitted ROEs.
- o **Out of Sequence Events** – The number of Out of Sequence events for each event type.
- o **Match Statistics** – The number of attempted, unmatched and match rates for all match types.
- o **Pending Online Submissions** – The number of repaired ROEs or new ROEs entered using the OATS Web Interface which have NOT been transmitted to OATS for processing. OATS will display “**Alert: Unsubmitted ROEs**” when a user has pending submissions.

A user may navigate directly to the full view of each data type by clicking on the summary title.

Announcements

Hot Topics and System Announcements are provided on the OATS Summary page and include scheduled system outages and upcoming changes to the OATS application. Announcements which have been published since the last time the user logged in are distinguished with a **New!** icon. Announcements which need immediate or special attention will be presented with an **Urgent** icon.

Clicking on the **Hot Topics** or **System Announcements** title will navigate the user to the full list of announcements, including historical postings.

<u>Hot Topics</u> OATS Redesigned Website in CT Welcome to the redesigned OATS Web Interface. The Production release of the new site is scheduled for December 14, 2009. Please refer to the <i>OATS Web Interface User Guide</i> for any questions you may have.	<u>System Announcements</u> <u>*** OATS Maintenance TODAY ***</u> <u>Upcoming OATS Maintenance</u>
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Resources

OATS Resources are a list of urls that provide useful information related to OATS. All links navigate or present users with various information, including the OATS Certificate Test Environment, OATS Technical Specifications, FINRA's OATS information, and Frequently Asked Questions.

OATS Resources	
<u>Certificate Test Environment</u>	<u>FINRA OATS</u>
<u>OATS Reportable Securities</u>	<u>FAQs</u>
<u>Technical Specifications</u>	<u>OATS Form T</u>
<u>Subscriber Manual</u>	
OATS Helpdesk 1-800-321-6273	

Chapter 3 Reporting & Feedback

The Reporting & Feedback section of the OATS Web Interface provides feedback and statistics related to OATS reporting. In this section of the site, a user can view, print, and download data and feedback based on their selected perspective.

Reporting Summary

The Reporting Summary is the landing page of the Reporting & Feedback section of the OATS Web Interface. It provides summary statistics and feedback in a consolidated view for a selected day or date range. All OATS feedback, including Reporting Statistics, FORE Status, Out of Sequence and Match Statistics is presented on the Reporting Summary.

Reporting Summary

Order Audit Trail System - Production Environment
FINRA Test Firm

Begin Date
10/13/2009

End Date
10/19/2009

MPID
ALL

☐ Most Recent Data Available

Go

Reset

Print Preview

Export

Results 1 - 1 of 5

Next

Reporting Statistics as of 10/13/2009

Type	Description	Received	Rejected
NW	New	1,954	1,884
	New with Cancel	10	2
	New with Desk	188	42
	New with Cancel and Desk	8	6
OR	Combined Order/Route	3,000	902
	Combined Order/Route with Cancel	18	6
	Combined Order/Route with Desk	24	16
	Combined Order/Route with Cancel and Desk	0	0
OE	Combined Order/Execution	60	44
	Combined Order/Execution with Desk	300	62
CR	Cancel/Replace Report	356	228
RT	Routing Report	352	212
DS	Desk Report	42	12
EX	Execution Report	5,338	2,018
CL	Cancel Report	406	390
	Total	12,056	5,624
	Late	3,211	
	Resubmit	0	

FORE Status as of 10/13/2009

Accepted	16
Rejected	0
Total	16

Out of Sequence as of 10/13/2009

Cancel	0
Cancel/Replace	16
Desk	0
Execution	2
Route	0
Total	18

Match Statistics as of 10/13/2009

	Attempted	Unmatched	Unmatched Rate	Match Rate
Order Trade	0	0	0%	0%
Exchange Route	0	0	0%	0%
Interfirm Route	0	0	0%	0%
Interfirm Received	0	0	0%	0%

The default view of the Reporting Summary displays the results for the most recent processed data available. Since different types of OATS Feedback are available at different times, the most recent data available does not represent a single business day. Features on the screen include the ability for users to view, print and/or export Reporting Statistics for all business days within the most recent 90-calendar days.

Exporting the Reporting Summary

When viewing by the **Transmitting** or **Reporting** perspective, the following information will be presented:

- o A single record for each OATS Processing Date within the selected date range will be presented. Each record represents the aggregation of all OATS Data transmitted or reported by the OSO associated with the logged in user.
- o OSO ID will be populated with the OSO ID of the logged in user.
- o MPID will be populated with 'N/A'.

When viewing by the **Firm** perspective, the following information will be presented:

- o A record for each OATS Processing Date within the selected date range will be displayed that represents the aggregation of OATS data submitted for the firm associated with the logged in user. For these records, MPID = 'ALL'.
- o A record for each MPID that has a Total ROE Count greater than 0 for an OATS Processing Date within the selected date range will be displayed. The record represents the aggregation of OATS data submitted for the MPID of the firm associated with the logged in user. For these records, MPID will be populated.
- o OSO ID will be populated with 'N/A'

A value of 0 indicates that 0 records apply to the particular count.

FORE Status

FORE status indicates whether a FORE was accepted or rejected. For each FORE file, information is provided that includes the OSO that transmitted the FORE, the method used to transmit the file, and the timestamps associated with each of the validation processes applied to the file.

FORE Status

Order Audit Trail System - Production Environment

FINRA Test Firm

Begin Date

End Date

FORE Status

MPID

Transmitting OSO

08/26/2009

10/13/2009

ALL

ALL

ALL

Go

Reset

Results 1 - 19 of 19

Firm FORE ID	Process Date	Status	Transmitting OSO	MPID	FORE Received Timestamp	Firm ROE Count	Transfer Method	Exception Reasons	
BETA_zzz_t_0826	08/26/2009	A	FINRAOSO	ZZZY	08/26/2009 12:07:29	2,586	IFT		+
BETA_zzz_t_0825	08/26/2009	R	FINRAOSO	ZZZY	08/26/2009 12:08:19	2,586	IFT	Duplicate FORE	+
BETA_zzz_t_0826	09/15/2009	R	FINRAOSO	ZZZY	09/14/2009 13:09:41	2,586	FTP	Duplicate FORE	-
Transmitting OSO ID User ID FORE Generation Date FORE File Size FORE File Name FORE File Header FORE File Trailer 4664 qcftp 08/26/2009 341307 BETA_zzz_t_0826.txt #HD# OATS D 1999-01.20090826.BETA_zzz_t_0826.4664..ZZZY #TR# 2586 OATS ROE Count 2,586 OATS FORE ID 7190706185 FORE Validation End TS 09/15/2009 05:00:09 Syntax/Semantic Validation End TS Context/ Duplicate Processing End TS 09/16/2009 08:23:05									
Test_ZZZY_1015_0	10/13/2009	A	FINRAOSO	ZZZY	10/13/2009 15:57:00	0	IFT		+
Test_ZZZY_1015_1	10/13/2009	A	FINRAOSO	ZZZY	10/13/2009 15:57:00	1,970	IFT		+
Test_ZZZY_1015_2	10/13/2009	A	FINRAOSO	ZZZY	10/13/2009 15:57:00	0	IFT		+
Test_ZZZY_1015_4	10/13/2009	A	FINRAOSO	ZZZY	10/13/2009 15:57:00	34	IFT		+
Test_ZZZY_1015_6	10/13/2009	A	FINRAOSO	ZZZY	10/13/2009 15:57:00	5	IFT		+
Test_ZZZY_1015_5	10/13/2009	A	FINRAOSO	ZZZY	10/13/2009 15:57:00	0	IFT		+
Test_ZZZY_1015_3	10/13/2009	A	FINRAOSO	ZZZY	10/13/2009 15:57:00	1,433	IFT		+
BETA_zzz_t_1013	10/13/2009	A	FINRAOSO	ZZZY	10/13/2009 15:57:14	2,586	IFT		+

The default view of the FORE Status screen displays FOREs received for the most recent completed business day. For a single or multiple days, users are able to view high level

information about each FORE, and are also able to expand the view of each record to see more detailed information. An additional feature of the screen provides the ability for users to export FORE Status information for all business days within the most recent 90-calendar days.

Out of Sequence Summary and Events

The Out of Sequence Summary presents secondary orders whose event timestamps are prior to the Order Received Timestamp reported on the New Type Order. The OATS Web Interface provides a count of these out of sequence events, aggregated by the Out of Sequence Reason Code.

Out of Sequence Summary			
Order Audit Trail System - Production Environment			
Process Date	MPID		
07/23/2009	ALL	Go	Reset
Download			
Count	OATS Code	Out of Sequence Reason	Download
17,544	3003	Order Sent Timestamp is prior to Order Received Timestamp	
3,751	3007	Desk Received Timestamp is prior to Order Received Timestamp	
55	3013	Execution Timestamp is prior to Order Received Timestamp	

The default view of the Out of Sequence Summary screen displays Out of Sequence results for the most recent business day where processing is complete. For a single processing date, users are able to view the summary, download Out of Sequence Events, or navigate to the list of Out of Sequence events. Click on the **OATS Code** to view the list of Out of Sequence events for the selected reason.

Out of Sequence Events

Back to Out of Sequence Summary

Order Audit Trail System - Prod

UBS Securities LLC

Process Date

MPID

Out of Sequence Reason

07/23/2009

ALL

3007-Desk Received Timestamp is prior to Order Received Timestamp

Go

Reset

Download

Results 1 - 25 of 3751

MPID	Order Received Date	Firm Order ID	Issue Symbol	Reason Code	Originating Event Type Code	Originating Event Timestamp	Subsequent Event Type Code	Subsequent Event Timestamp
UBSS	07/23/2009 00:00:00	1494151824	QCOM	3007	NW	07/23/2009 13:30:00	DS	07/23/2009 09:30:00
UBSS	07/23/2009 00:00:00	1494151824	QCOM	3007	NW	07/23/2009 13:30:00	DS	07/23/2009 09:30:00
UBSS	07/23/2009 00:00:00	1494151825	QCOM	3007	NW	07/23/2009 13:30:10	DS	07/23/2009 09:30:10
UBSS	07/23/2009 00:00:00	1494151825	QCOM	3007	NW	07/23/2009 13:30:10	DS	07/23/2009 09:30:10
UBSS	07/23/2009 00:00:00	1494151830	NDAQ	3007	NW	07/23/2009 13:41:09	DS	07/23/2009 09:41:09
UBSS	07/23/2009 00:00:00	1494151830	NDAQ	3007	NW	07/23/2009 13:41:09	DS	07/23/2009 09:41:09
UBSS	07/23/2009 00:00:00	1494151832	QCOM	3007	NW	07/23/2009 13:41:21	DS	07/23/2009 09:41:21
UBSS	07/23/2009 00:00:00	1494151839	QCOM	3007	NW	07/23/2009 13:41:47	DS	07/23/2009 09:41:47
UBSS	07/23/2009 00:00:00	1494151839	QCOM	3007	NW	07/23/2009 13:41:47	DS	07/23/2009 09:41:47
UBSS	07/23/2009 00:00:00	1494151840	QCOM	3007	NW	07/23/2009 13:41:47	DS	07/23/2009 09:41:47

Match Statistics and Unmatched Events

The Match Statistics & Summary page presents feedback related to all of the OATS matching processes. In a single view, a user is able to see the outcome of all OATS matching processes. For a selected Process Date for each match type, the number of events that were attempted and were unmatched, along with the match / unmatched rates are displayed. Also, unmatched events aggregated by Unmatched Reason Code are displayed.

Match Statistics & Summary

Process Date

MPID

08/21/2009

ALL

Go

Reset

Order Audit Trail System - Production Environment

FINRA Test Firm

Process Date	Match Type	Attempted	Unmatched	Unmatched Rate	Match Rate
08/21/2009	Order Trade	37	37	100%	0%
	Exchange Route	4	4	100%	0%
	Interfirm Route	1,149	1,149	100%	0%
	Interfirm Received	0	0	0%	0%

Count	Unmatched Code	Match Type	Unmatched Reason	Download
37	4001	Order Trade	Late reported Execution or Combined Order/Execution	
4	4011	Exchange Route	Late reported Route or Combined Order/Route	
1,149	4021	Interfirm Route	Late reported Route or Combined Order/Route	

The default view of the Match Statistics & Summary screen displays Match results for the most recent business day where processing is complete. For a single processing date, users are able to view the summary, download unmatched events, or navigate to the list of unmatched events. Click on the **Match Type** or **Unmatched Code** to view the list of unmatched events for the selected match type or reason.

Unmatched Events

Back to Matching Statistics & Summary

Order Audit Trail System - Production Environment
FINRA Test Firm

Process Date

Match Type

MPID

Unmatched Reason

08/21/2009

Order Trade

ALL

4001-Late reported Execution or Combined Order/Execution

Go

Reset

Download

Results 1 - 25 of 37

MPID	Issue Symbol	Branch/Sequence Number	Execution Timestamp	Firm Order ID	Firm ROE ID	Market Center ID	Event Type Code	Unmatched Code	
ZZZY	BYDDF	NY0865	08/19/2009 09:25:49	12195801	50612825	O	EX	4001	
Action Type: N Order Received Date: 08/19/2009 08:03:00 Execution Type Indicator: F Execution Quantity: 4.050 Trader Terminal ID: 11 Execution Price: 6.09 Capacity Code: P Leaves Quantity: 0 Reporting Exception Code: Correction Deletion Timestamp: ROE Resubmit flag: Firm FORE ID: Test_zzzz_820_1									
ZZZY	AKZOY	NY0918	08/19/2009 09:30:04	12200601	50613215	O	EX	4001	
ZZZY	BNPGY	NY0923	08/19/2009 09:30:04	12199501	50613230	O	EX	4001	
ZZZY	WTKWY	NY0922	08/19/2009 09:30:04	12195701	50613227	O	EX	4001	
ZZZY	ATLKY	NY0937	08/19/2009 09:30:04	12200501	50613391	O	EX	4001	
ZZZY	STBUY	NY1676	08/19/2009 09:33:51	12333801	50616084	O	EX	4001	
ZZZY	SKHSY	NY1674	08/19/2009 09:33:51	12333601	50616082	O	EX	4001	
ZZZY	SSDOY	NY1677	08/19/2009 09:33:51	12333901	50616085	O	EX	4001	
ZZZY	NTDOY	NY1675	08/19/2009 09:33:51	12333501	50616083	O	EX	4001	
ZZZY	TKPPY	NY1678	08/19/2009 09:33:51	12334001	50616088	O	EX	4001	
ZZZY	KCRPY	NY1681	08/19/2009 09:33:55	12333401	50616125	O	EX	4001	
ZZZY	TKPPY	NY1767	08/19/2009 09:34:27	12337001	50616297	O	EX	4001	

When viewing the unmatched events, users are able to expand the view of each record to see more detailed information.

Chapter 4 Rejections & Repairs

All ROE rejections must be repaired and resubmitted to OATS. The Rejections & Repairs section of the OATS Web Interface provides the mechanism for users to manage and repair their rejections. Within the screens of this section users have the ability to view, download, and repair rejections based on their selected perspective.

Navigation and filters available within the Rejections & Repairs screens provide the user with a great amount of flexibility to manage their preferred method for viewing and editing rejection data. A user is able to view rejections organized by Related Fields or as per the Technical Specifications order. Also, while working on rejections for a specific Process Date, the same date will be presented across all rejection screens until the user selects a different date or resets it.

Web Repair Methods

Repairing Rejections in the OATS Web Interface requires a user to complete two steps:

Step 1: Repair the rejected events using the screens available in the Rejections & Repairs section of the OATS Web Interface. Once repaired, OATS will update the Repair status from 'Unrepaired' to 'Repaired', and will stage the events for resubmission.

Step 2: Submit the rejections to OATS for processing. OATS will update the Repair Status to 'Sent'.

OATS provides several mechanisms within the OATS Web Interface to repair rejections, including:

- o **Individual ROE Repair** – To repair a single rejection, navigate to the **ROE Repair** screen. Open a rejection event and edit the specific field or fields which caused the rejection. Once the event has been updated, click **Repair**. On click, the Web Interface will validate the event to ensure it includes correct syntax and valid values and will stage it for resubmission to OATS.
- o **Automatic Repair for “Order Does Not Exist in OATS”** – OATS initiates the auto-repair process when a New, Combined Order/Route, Combined Order/Execution or Cancel/Replace order report is repaired that has related subsequent events that rejected for “order does not exist in OATS.” Subsequent events that rejected within 5 business days of the rejection date of the repaired event will be automatically repaired.
- o **Send Checkbox** – Late submissions or missing FORE files often generate context rejections for “order does not exist in OATS”. Once the missing data has been submitted, the “order does not exist in OATS” rejections can be repaired by just resubmitting them. To stage one more context rejections for resubmission without updating any of the data within the record(s), navigate to the **ROE Repair** screen and filter the records by selecting Rejection Type of Context. Click the Send checkbox for all rejections that apply. Scroll down to the bottom of the screen and click **Send**.

- o **Group Repair** – Discrepancies in reference data can cause numerous rejections for invalid Issue Symbol or MPID. These type of rejections are repaired by correcting a value that may apply to one or many records. To repairs these type of rejections with a single update and stage them for resubmission to OATS, navigate to the **Group Repair** screen. Enter the correct symbol and click **Repair**.

Rejection Summary

The Rejection Summary is the landing page for the Rejections & Repairs section of the OATS Web Interface. The screen presents all rejected events, aggregated by Rejection Reason Code or by FORE file.

Rejection Count	Rejection Code	Rejection Reason	Rejection Type	Download
2	2030	Issue Symbol Invalid for Order Event Date	Syntax	
6	3004	Route report is for an order that does not exist in OATS	Context	
51	3014	Execution report is for an order that does not exist in OATS	Context	
32	3020	Cancel Report is for an order that does not exist in OATS	Context	
5	3023	Cancel/Replace Report is for an order that does not exist in OATS	Context	
14	3501	Duplicate Order Event	Duplicate	

The default view of the Rejection Summary screen displays a summary for the most recent business day where processing is complete. For a single processing date, users are able to view the summary, download some or all rejections, or navigate to a list of rejections for a selected Rejection Code. Click on the **Rejection Code** to view the list of rejections for the selected reason.

ROE Repair

The ROE Repair screen provides the list of rejected events and their repair status for a single process date. This screen provides the user with the ability to select and repair one or more rejections.

ROE Repair [Back to Rejections Summary](#) Order Audit Trail System - Production Environment
FINRA Test Firm

Process Date: 10/13/2009 MPID: ALL Rejection Type: ALL Repair Status: ALL Hide Status: Not Hidden Transmitting OSO: ALL

Firm FORE ID: ALL Rejection Reason: ALL

BETA_zzzyt_1012 2008-Missing or invalid Firm Order ID
 BETA_zzzyt_1013 2009-Missing or invalid Order Received Timestamp
 Test_ZZYZ_1012_1 2010-Missing or invalid Correction Deletion Timestamp

Go Reset

Results 1 - 25 of 5552

Hide	Rejected ROE ID	MPID	Firm Order ID	Order Received Date	Issue Symbol	Event Type Code	Rejection Code	View Related Events	Repair Status	Repair Timestamp	Repaired By	Sent Timestamp	Send
☐	300000217214	ZZZY	00001218842abc-005	10/15/2009 15:42:09	AACC	EX	3014		Unrepaired				☐
☐	300000219805	ZZZY	00001218842abc-005	10/12/2009 15:42:09	AACC	EX	3014		Unrepaired				☐
☐	300000221522	ZZZY	12363301	10/12/2009 09:40:23	AAPH	CL	3020		Repaired	10/20/2009 18:30:12	mioatszzzyt		☐
☐	300000221459	ZZZY	12363301	10/12/2009 09:40:23	AAPH	NW	2102		Repaired	10/20/2009 18:30:12	mioatszzzyt		☐
☐	300000223493	ZZZY	12363301	10/15/2009 09:40:23	AAPH	CL	3020		Repaired	10/20/2009 18:29:02	mioatszzzyt		☐
☐	300000223430	ZZZY	12363301	10/15/2009 09:40:23	AAPH	NW	2102		Repaired	10/20/2009 18:29:02	mioatszzzyt		☐

The default view of the ROE Repair screen displays the list of rejections for the most recent business day where processing is complete. The repair status, repair timestamp and user who made each repair is displayed. A rejection status can be any of the following:

- o **Unrepaired** – No action has been taken.
- o **Repaired** – The rejection has been repaired and has NOT been sent to OATS for processing.
- o **Sent** – The rejection has been repaired and has been sent to OATS for processing.

The ROE Repair screen provides a user with many options to filter, sort and manage the rejections displayed on the screen, including:

- o **Hide** - The Hide column provides the ability to remove one or more records for the user's view while working on rejections. Check one or more rejections and click **Hide** (button located at the bottom of the screen). Hiding a record does not delete, edit, or impact the repair status of the rejection. A rejection is no longer Hidden when a user clicks **Unhide** (button located at the bottom of the screen) or when the user logs out and logs back into the OATS Interface.
- o Click on the **Rejection Code** to view the details of the Rejection and open for repair.
- o **View Related Events** - For Context rejections, users are able to view a list of events with the same order identifier or are related because of subsequent Cancel/Replace events. This view gives the user the ability to see all related rejections within 90 calendar days and helps to make a determination on how to repair the events. To view the list of related events, click .
- o **Send** - The Send column provides the ability for a user to stage one or more records, without editing, for resubmission to OATS. The **View Related Events** column provides

the ability to see one or more rejections with the same or related order identifier. Check one or more rejections and click **Send** (button located at the bottom of the screen).

Repairing Individual Rejections

From the ROE Repair screen, users are able to select and open individual rejections for repair. The OATS defined event type is presented with all fields populated as per the original submission. The Repair Status and all associated rejection reasons are displayed just below the event type title.

ROE Repair Order Audit Trail System - Production Environment
FINRA Test Firm
Technical Specifications View
[Change View](#)

Execution Report

- Repaired Status - Unrepaired
- Missing or invalid Correction Deletion Timestamp
- Corrected report must be immediately preceded by a Delete/Replace report.

Seq.	Field Name Value	Seq.	Field Name Value
1	Record Type #OE#	13	Trader Terminal ID
2	Event Type Code EX	14	Reporting Exception Code
3	Action Type Code C- Corrected order event	15	Issue Symbol ID
4	Firm ROE ID 558930	16	Execution Type Indicator
5	Correction/Deletion Timestamp	17	Leaves Quantity
6	Rejected ROE Resubmit Flag Y- Resubmitted ROE	18	Market Center ID
7	Order Receiving Firm MPID ZZZY	19	Originating Broker/Dealer
8	Order Received Date 20091015095121	20	Execution Price
9	Firm Order ID 00001219128abc-001	21	Capacity Code
10	Execution Timestamp 20091015 095441	22	Rejected ROE ID
11	Branch/Sequence Number 22399863	23	End of Record Marker LF
12	Execution Quantity 500		

Repair **Reset** **Cancel**

When viewing and repairing individual rejection records, users are able to take any of the following actions:

- o **Repair** - Enter the corrected value and click **Repair**. On click, OATS will validate the updated rejection. If valid, OATS will return the user to the ROE Repair screen to take further action. If the update does not pass validation, OATS will present the user with an updated rejection reason.
- o **Reset** - To reset the screen and populate the fields with the data from the original submission, click **Reset**.
- o **Cancel** - To cancel and return back to the ROE Repair screen, click **Cancel**.
- o **Change View** - To change the screen view, click [Change View](#).



Notes Related to Repairing Rejections in OATS:

- o The fields associated with the rejection(s) are also presented in bold red font.
- o Refer to the OATS Data Dictionary or the *OATS Reporting Technical*

Specifications for the definition of each field and the conditions of when the field is required.

- o Required fields are indicated by bold face and font color.
 - o OATS will auto-populate the Rejected ROE Resubmit Flag equal to 'Y' and the Rejected ROE ID, which is required for the Rejection Repair process.
 - o The OATS Web Interface validates for syntax and semantics prior to submission. However, submitted data is also validated for context, which may result in rejections.
-

Group Repair

The Group Repair screen presents users with Group Repair eligible rejections, which are records that rejected for one reason, and that reason is for an invalid Issue Symbol or MPID. The Group Repair eligible rejections are:

- o Invalid Order Receiving Firm MPID
- o Invalid Routing Firm MPID
- o Invalid Sent to Firm MPID
- o Missing or Invalid Issue Symbol ID
- o Issue Symbol invalid for Order Event Date

These type of rejections are repaired by correcting a value that may apply to one or many records.

Group Repair

Order Audit Trail System - Production Environment
FINRA Test Firm

Process Date: 10/13/2009 Symbol Rejection Reason: ALL Rejections containing: [] Go Reset

Symbol Rejection Reason	Rejection Count	Invalid Value	Corrected Value	
Missing or invalid Issue Symbol ID	4			Repair Undo
Issue Symbol invalid for Order Event Date	42	CDII		Repair Undo
Issue Symbol invalid for Order Event Date	2	ASPS		Repair Undo
Issue Symbol invalid for Order Event Date	2	QMNDQ		Repair Undo
Issue Symbol invalid for Order Event Date	12	FHCO		Repair Undo
Issue Symbol invalid for Order Event Date	2	IPXL		Repair Undo
Issue Symbol invalid for Order Event Date	4	AVRNO		Repair Undo

The default view of the Group Repair screen is to display all Group Repair eligible rejections for the most recent business day where processing is complete. When viewing Group Repair eligible rejections, users are able to take any of the following actions:

- o **Repair** - Enter the correct value and click **Repair**. Once Repaired, the Repair button will be disabled and the Undo button will be enabled.
- o **Undo** - Users may undo the Group Repair of rejections that have not been sent. To undo the repair, click **Undo**.

Chapter 5 Report to OATS

The Report to OATS section of the OATS Web Interface provides users with the ability to create Reportable Order Events (ROEs) and transmit data to OATS for processing. Within the screens of this section, users can create ROEs, edit, download, and transmit all data, including rejections, which are staged for submission to OATS.

Submit Events

The Submit Events screen is the landing page of the Report to OATS section of the OATS Web Interface. Data which is pending submission to OATS for processing is presented on this screen. This data represents all previously created ROEs as well as all repaired rejections.

Submit Events

Order Audit Trail System - Production Environment
FINRA Test Firm

Submission Type Firm MPID User

ALL ALL ALL Go Reset

Pending Online Submissions

Results 1 - 6 of 6

TYPE	MPID	Order Received Date	Firm Order ID	Issue Symbol ID	Event Type Code	Firm ROE ID	Rejected ROE ID	Entered / Repair by	Entered / Repair Date	Related Events	Delete
Repair	ZZZY	10/15/2009 07:00:00	12191101a	ARDM	NW	1	300000214633	mioatszzzyt	10/20/2009 18:28:27		
Repair	ZZZY	10/15/2009 07:00:00	12191401a	IDMCQ	NW	4	300000214636	mioatszzzyt	10/20/2009 18:29:50		
Repair	ZZZY	10/12/2009 09:40:23	12363301	AAPH	NW	50618084	300000221459	mioatszzzyt	10/20/2009 18:30:12		
Repair	ZZZY	10/12/2009 09:40:23	12363301	AAPH	CL	50618242	300000221522	mioatszzzyt	10/20/2009 18:30:12		
Repair	ZZZY	10/15/2009 09:40:23	12363301	AAPH	NW	50618084	300000223430	mioatszzzyt	10/20/2009 18:29:02		
Repair	ZZZY	10/15/2009 09:40:23	12363301	AAPH	CL	50618242	300000223493	mioatszzzyt	10/20/2009 18:29:02		

Submit Events

Download Events

Creating and repairing OATS events via the web is a two-step process. First, users must create the order events or repair the rejections. Second, users must submit the events to OATS for processing. Users are able to download and submit data for any selection of Submission Type and MPID. Once submitted, Pending events are no longer available for Download

Users are able to view, update, or delete any pending event prior to submitting the data to OATS. When viewing Pending Online Submissions, users are able to take any of the following actions:

- o Click on the **Firm Order ID** to view the Pending Event and open it for editing.
- o **View Related Events** – To view the list of events with the same order identifier or events which are chained together, click .
- o **Delete Pending Events** – Check one or more Pending Events and click **Delete** (button located at the bottom of the screen).
- o **Download Events** - Prior to submitting the data to OATS, click on **Download Events** to download the events. OATS presents the records in a comma-delimited format where the user is able to save and manage the information outside the OATS Interface.

- o **Submit Events for Processing** - To submit the ROEs created on the website and all rejections repaired using the website, click **Submit Events**. OATS will create one or more FORE files and will submit the data for processing. OATS will present the name of each FORE file created. Status for these submissions is available on the **FORE Status** page.
-



Important!

- o To meet the order reporting rules and requirements for data retention of order information, firms that submit ROEs or repair rejected ROEs via the Web Interface must retain a copy of the ROEs at their firm. Ensure that you download a copy of all ROEs entered via the OATS Web Interface before you exit the current session (for procedure, see “To Download and Send ROEs to OATS,” discussed later in this chapter). After you exit the current session, the ROEs are no longer available.
 - o Once data has been submitted, it can no longer be downloaded.
 - o Pending events that are not submitted to OATS within 30 days will NOT be processed and will be discarded.
-

Create Order Events

Users are able to use the Create Order Events feature as a mechanism to report OATS ROEs. Reporting to OATS using the OATS Web Interface requires a user to complete two steps:

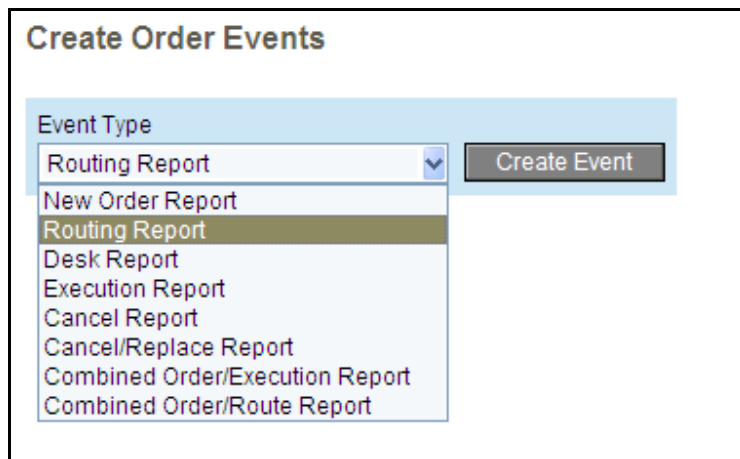
Step 1: Enter the ROEs using the Create Order Events screens.

Step 2: Submit the ROEs to OATS for processing.

The Create Order events screen provides the ability to create any of the defined OATS Event Types, including:

- o New Order Report
- o Combined Order/Route Report
- o Combined Order/Execution Report
- o Cancel/Replace Report
- o Route Report
- o Desk Report
- o Execution Report
- o Cancel Report

Select the Event Type and click **Create Event**.



Create Order Events

Event Type

Routing Report

New Order Report

Routing Report

Desk Report

Execution Report

Cancel Report

Cancel/Replace Report

Combined Order/Execution Report

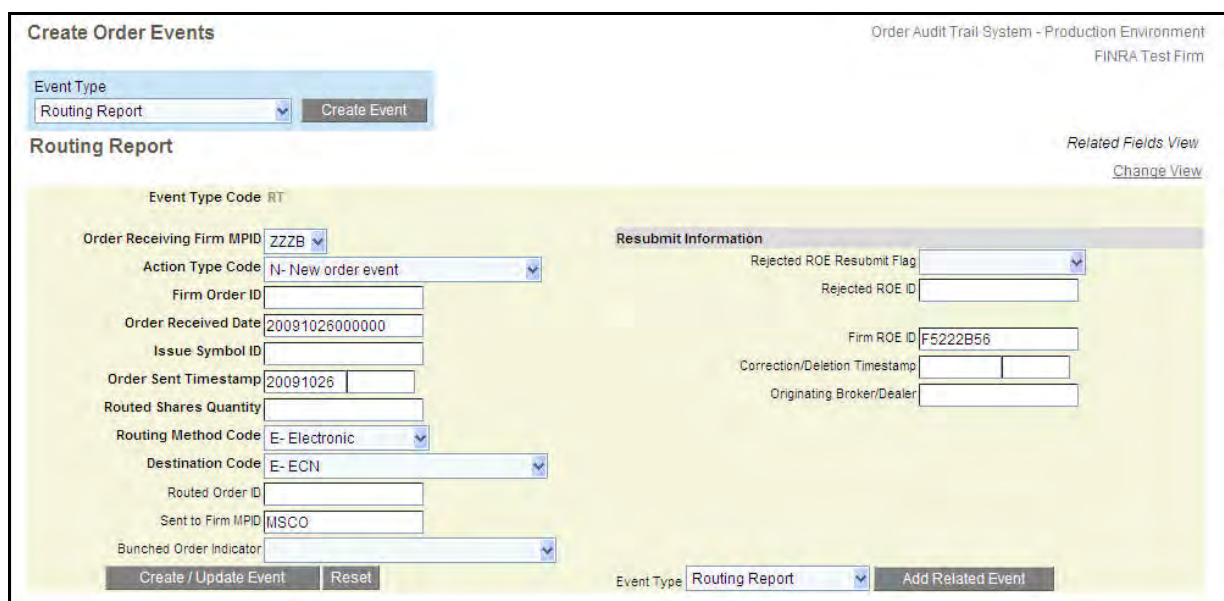
Combined Order/Route Report

Create Event

The event is presented, which includes all fields defined for the selected event type. Fields will be populated as per the defined **User Preferences** for each user. If preferences have not been defined, all fields will be blank. Refer to Chapter 6 of this document for a description of the **User Preferences** page.



Important! Users are strongly encouraged to review the fields automatically populated based on default settings established in the **User Preferences** for each order to ensure they are applicable to that specific order. Failure to override a default setting for a specific order that results in inaccurate information being transmitted to OATS may result in a violation of the OATS Rules.



Create Order Events

Order Audit Trail System - Production Environment
FINRA Test Firm

Event Type

Routing Report

Create Event

Routing Report

Related Fields View
Change View

Event Type Code RT

Order Receiving Firm MPID ZZZB

Action Type Code N- New order event

Firm Order ID

Order Received Date 20091026000000

Issue Symbol ID

Order Sent Timestamp 20091026

Routed Shares Quantity

Routing Method Code E- Electronic

Destination Code E- ECN

Routed Order ID

Sent to Firm MPID MSCO

Bunched Order Indicator

Resubmit Information

Rejected ROE Resubmit Flag

Rejected ROE ID

Firm ROE ID F5222B56

Correction/Deletion Timestamp

Originating Broker/Dealer

Create / Update Event Reset

Event Type Routing Report Add Related Event

When creating order events, users are able to take any of the following actions:

- o **Create Event** - enter the associated data and click **Create/Update Event**. On click, OATS will validate the event. If the order event has a syntax or other error, OATS will

display a notification message which includes the error(s). If the event is valid, OATS will present a message indicating the ROE has been created.

- o **Reset** - To clear the screen and populate the field values as per the User Preferences, click **Reset**.
 - o **Add Related Event** - Users are able to create subsequent events with the same order identifier as a previously entered event which has not been submitted. To create a related event, choose the Event Type from the bottom of the Create Events screen and click **Add Related Event**. The selected event will be opened and the order identifier (Firm MPID, Firm Order ID and Order Received Date) will be populated and equal to the order identifier of the originating event.
 - o **Change View** - To change the screen view, click Change View.
-



Notes Related to Creating Order Events in OATS:

- o Auto-generated and auto-populated fields may be changed as needed.
 - o Refer to the *OATS Data Dictionary* or the *OATS Reporting Technical Specifications* for the definition of each field and the conditions of when the field is required.
 - o Required fields are indicated by bold face and font color
 - o To select multiple Desk Handling or Special Handling codes, use the Ctrl key.
 - o The OATS Web Interface validates for syntax and semantics prior to submission. However, submitted data is also validated for context, which may result in rejections.
-

Chapter 6 Administration

The Administration section of the OATS Web Interface provides users with the ability to:

- o Create and Store **User Preferences**
- o Create and Edit **Reporting Relationships**
- o Create and Edit **Contacts**
- o View a list of **OATS Users**

User Preferences

The User Preferences feature of the OATS Web Interface enables individual users to set default views, select specific fields for OATS to auto-generate, and set default values. These settings are applied each time a user who has created User Preferences logs in.

Setting User Preferences is optional. Users may set default views and values for any fields which are available on the User Preferences page. If a user has not set any preferences, OATS will present default values.

The first section of the User Preferences page enables users to select View Preferences. Users can set the following View Preferences:

- o **Data Perspective** – Select the default perspective with which to view the data presented on all screens. OATS will display the applicable list of perspectives based on the logged in user.
- o **Create Order Events** – Select default view when displaying events screens for creating new events.
- o **ROE Repair** – Selected default view when displaying events screens for repairing rejections.
- o **Pagination** – Select the number of items or records displayed on pages that present individual records.

The last two sections of the User Preferences page includes a list of fields for users to select which instructs OATS to auto-generate and auto-populate values on the Create Events screens. This feature allows firms to designate values for fields, which are often the same for each order event.

User Preferences

Order Audit Trail System - Production Environment
FINRA Test Firm

Please select your View Preferences

Data Perspective: FIRM

Create Order Events: Technical Specifications View

ROE Repair: Related Fields View

Please select the field values that OATS may auto-generate: (Select all that apply)

☒ Firm ROE ID
☒ Order Received Date (set to current date)
☒ Desk Received Timestamp (set date portion to current date)
☒ Canceled Timestamp (set date portion to current date)
☒ Order Sent Timestamp equal to Order Received Timestamp (for related events only)

☒ Firm Order ID
☒ Order Received Timestamp (set date portion to current date)
☒ Order Sent Timestamp (set date portion to current date)
☒ Execution Timestamp (set date portion to current date)

Please provide default values for any of the following fields:

Action Type Code: N- New order event

Receipt or Origination

Order Receiving Firm MPID: ZZZB

Program Trading Code: N- Not part of a program trade

Arbitrage Code: N- Not part of an arbitrage strategy

Member Type Code: M- Member Firm

Received Method Code: E- Electronic

Account Type Code: W- Wholesale

Originating Department ID: 123

Receiving Department ID: 123

Receiving Terminal ID: 123

ECN Flag:

Order Handling

Time in Force Code: DAY- Day Order

Customer Instruction Flag: Y- Yes

DPID/PLI Code: DPID- Debit/PLI- Debit/PLI- Debit

Receipt by Desk or Department

Received by Desk ID: 123

Desk Type Code: T- Trading

Route to Member, Non-Member, ECN or Exchange

Sent to Firm MPID: MSCO

Routing Method Code: E- Electronic

Destination Code: E- ECN

Order Execution

Trader Terminal ID: 123

Market Center ID: L- NASD/NASDAQ TRF

Capacity Code: A- Agent



Notes Related to User Preferences:

- o Setting default values is optional. Firms may set default values for any fields which are available on the User Preferences page to be auto-populated.
- o Selecting fields to be auto-generated is optional. Firms may select any field, which is available on the User Preferences page to be auto-generated.
- o For selected Timestamp fields, OATS will auto-generate the date portion of the field with the current date. Users are required to provide the time portion of the field in HHMMSS format except when a user selects the Order Sent Timestamp equal to Order Received Timestamp option.
- o *As of 11/2009, the Cancel Timestamp, Desk Received Timestamp and Receipt by Desk or Department information, if defined in the User Preferences, will NOT be auto-populated for NW, OR, and OE events.*
- o To remove a default value, remove the value from the field or select <blank> value in the drop down list.

Users can create or update User Preferences at any time. To create or update preferences, click **Set/Update Default Values**, found at the bottom of the page.

Reporting Relationships

Reporting relationships establish a relationship between a firm and an Order Sending Organization(OSO) for purposes of transmitting and reporting OATS data. In order to transmit data to OATS, all firms must create Reporting Relationships.

There are two types of Reporting Relationships:

- o **Transmitting** – Authorizes an Order Sending Organization to transmit data to OATS for processing on behalf of itself or on behalf of another firm. Using the OATS Web Interface, Transmitting OSOs may view the FORE files they transmitted.
- o **Reporting** – Authorizes an Order Sending Organization to view or take action on data using the OATS Web Interface. Using the OATS Web Interface, Reporting OSOs may view and take action on data where the header of the FORE file is populated with the OSO ID of the Reporting OSO.

Reporting Relationships
Order Audit Trail System - Production Environment
FINRA Test Firm

Reporting relationships establish a relationship between your firm and an Order Sending Organization(OSO). A Transmitting relationship provides authorization for a firm to report on their own behalf or authorizes another Order Sending Organization to report on behalf of the firm. A reporting relationship is required to authorize a clearing firm to report on a firm's behalf through another Order Sending Organization.

Once created, the OSO is able to Transmit and/or Report data to OATS on your firm's behalf.

[Add Reporting Relationship](#)

View Type
Relationship Type
Relationship Status
MPID

Firm-OSO
ALL
ALL
ALL

Go
Reset

The following list identifies OSOs authorized to transmit or report for your firm.

Results 1 - 5 of 5

OSO ID	MPID	OSO Name	Relationship Type	Effective Date	Expiration Date	Delete Flag	First Send Date	Last Send Date	Created By	Create Timestamp
661	ZZZB	Heritage West Securities, Inc.	Transmitting	07/08/2009	07/31/2009				MIQATSZZYT	07/08/2009 06:09:47
994	ZZZB	Automated Securities Clearance (BRASS)	Transmitting	07/07/2009					MIQATSZZYT	07/07/2009 14:01:31
4664	ZZZY	FINRAOSO	Transmitting	06/19/2009			06/19/2009 14:17:56	10/13/2009 16:04:02	MIQATSZZYT	06/19/2009 14:14:52
99999998	ZZZY	FINRA Test Firm	Transmitting	01/01/2007			01/01/2007 00:00:00		DemoFix	06/09/2009 13:22:29
99999998	ZZZB	FINRA Test Firm	Transmitting	07/30/2009					MADISONK	07/30/2009 14:41:09

Using the functionality in this screen, authorized users are able to take the following actions:

- o **View OSO-Firm Relationships** - View the list of firms that have authorized your firm to Transmit and/or Report on their behalf. This list is read-only; users are not able to edit or delete these records. To see this list, select the View Type of *OSO-Firm* in the filter section.
- o **View Firm-OSO Relationships** – View the list of Transmitting and Reporting Order Sending Organizations authorized by the firm associated with the logged in user. To see this list, select the View Type of *Firm-OSO* in the filter section.
- o **Create Relationship** – To add a new Relationship that authorizes an Order Sending Organization to transmit or report data for your firm, click [Add Reporting Relationship](#).

Add or Edit Reporting Relationships

Relationship Type

Firm MPID

OSO ID

Enter OSO Name or ID

Effective Date

Expiration Date

Populate all of the information and click **Add Relationship**. Once created, the OSO is able to transmit and/or report data to OATS on the firm's behalf starting on the effective date of the relationships. Click **Cancel** to cancel the Add Relationship action and close the data entry section of the screen.

- o **Edit or Expire Relationship** – To edit or expire an active relationship, click .

Add or Edit Reporting Relationships

Relationship Type

Firm MPID

OSO ID

Enter OSO Name or ID

Effective Date

Expiration Date

Add or update the Expiration Date and click **Update Relationship**. None of the other fields are editable. Note, once a relationship has expired, it is no longer editable. Click **Cancel** to cancel the Edit Relationship action and close the data entry section of the screen.

Contacts

Contacts information is used by OATS technical and regulatory staff to identify the appropriate person(s) to contact concerning a variety of OATS-related topics or issues. All Contacts receive OATS email announcements. A Contact may or may not be a user of the OATS application. Contact types include:

- o **OATS Principal** - The contact designated to receive electronic mailings related to OATS reporting requirements as a result of the preliminary version of the OATS Compliance Report Card.
- o **Administrator** - The primary contact for OATS Entitlement inquiries, this contact is responsible for managing User IDs and passwords, Entitlement requests, and updating organization data in the OATS Web Interface.
- o **Technical Support** - The primary contact for assisting FINRA in resolving OATS-related technical issues.
- o **Compliance** - A contact who can assist FINRA in resolving OATS-related compliance issues.
- o **Other**

Contacts Order Audit Trail System - Production Environment
FINRA Test Firm

Contacts information is used by OATS technical and regulatory staff to identify the appropriate person(s) to contact concerning a variety of OATS-related issues. All Contacts receive OATS email announcements. A Contact may or may not be a user of the OATS application. Contact types include:

- **OATS Principal** - The contact designated to receive electronic mailings related to OATS reporting requirements as a result of the preliminary version of the OATS Compliance Report Card.
- **Administrator** - The primary contact for OATS Entitlement inquiries, this contact is responsible for managing User IDs and passwords, Entitlement requests, and updating organization data in the OATS Web Interface.
- **Technical Support** - The primary contact for assisting FINRA in resolving OATS-related technical issues.
- **Compliance** - A contact who can assist FINRA in resolving OATS-related compliance issues.
- **Other**

OSO Administrators are authorized to add or edit Contacts using the OATS Web Interface.

[Add Contact](#)

Results 1 - 2 of 2

Contact Type	Last Name	First Name	Title	Phone Number	Extension	Fax	Email	Create Timestamp	Edit	Delete
Compliance	Nirmal	Sharma	Bossss	12323231231	1231	123123123123	erterter@dd.njm	07/08/2009 01:35:55		
OSO Administrator	erterter	ertert	ertertert	345345345345	3453	3453453453453	dgdgfd@sfsf.kmj	07/08/2009 06:05:31		

Using the functionality in this screen, authorized users are able to take the following actions:

- o **Add a Contact** - To add a new contact, click [Add Contact](#).

Add or Edit Contacts

Contact Type OSO Administrator

First Name

Phone Number

Fax

E-mail Address

Title

Last Name

Extension

[Save Contact](#) [Cancel](#)

Populate all of the information and click [Save Contact](#). To cancel and close the Add or Edit Contacts section of the screen, click [Cancel](#).

- o **Edit a Contact** - To edit or expire a Contact, click . Update the contact information and click Update Contact. To cancel and close the Add or Edit Contacts section of the screen, click **Cancel**.



Important! It is very important that firms keep the OATS Contact information updated on the Web. When we have an issue that affects your firm or OSO, we will use these contact numbers on the Web to contact your firm

OATS Users

The OATS Users page displays the list of OATS users. The list includes all active and expired user accounts, along with their respective User Role.

OATS Users

Order Audit Trail System - Production Environment
FINRA Test Firm

User RoleAccount Status

ALLActiveGoReset

Results 1 - 1 of 1

User Role	User ID	Last Name	First Name	Email	Account Status	Create Timestamp
OSO Admin	miloatszzyt	Test	Test		A	