

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:

- **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.
- **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.
- **OATS Frequently Asked Questions**, located at www.finra.org/oatsfaq.
- **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>.

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:

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

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

- 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:

- Create, edit, and reset passwords for OSO/Firm User and OSO Read-Only user accounts using the FINRA Entitlement system.
- 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:

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

3. OSO Read-Only User

OATS privileges for OSO Read-Only Users include:

- View order data
- View rejected ROEs
- Obtain feedback from OATS, including OATS Announcements, Reporting Statistics, Out of Sequence, Matching Statistics, and Reverse Linkage Statistics
- 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:

- Internet Explorer 8.0, 9.0, 10.0, 11.0
- Chrome: Latest version only for OSX, Windows, Linux
- Firefox: Latest version only for OSX, Windows, Linux
- Safari: Latest version only for OSX

- Mobile OS

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

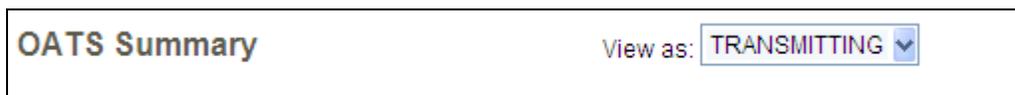
The OATS Web Interface provides up to three data perspectives with which to view the data. Perspectives allow users to see the data aggregated in different ways. The available perspectives are:

- **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.
- **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.
- **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 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.

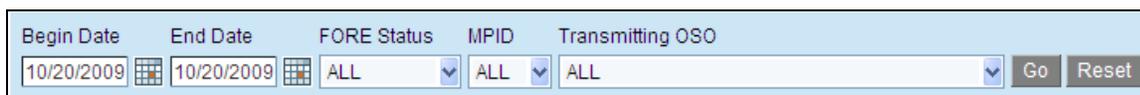
The **OATS Summary** page provides the mechanism to select the preferred perspective to view the data. The View as drop down list includes the perspectives applicable to the user. Once selected, the perspective will be applied to data presented on all screens. Available search filters and their list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



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.

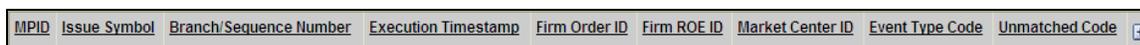


When a screen is initially presented, default values will be used. In most cases, default values include presenting all data available for the most recent OATS Processing Date which has been completed. From that point, a user may filter the data or navigate away from the page.

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.



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_zzzyt_1012	10/13/2009	A	FINRAOSO	ZZZY	10/13/2009 16:03:54	2,586	IFT		
BETA_zzzyt_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		OATS ROE Count		1,970			
User ID		qcftp		OATS FORE ID		7190706289			
FORE Generation Date		10/15/2009		FORE Validation End TS		10/13/2009 15:57:08			
FORE File Size		237655		Syntax/Semantic Validation End TS		10/16/2009 12:12:01			
FORE File Name		ZZZY_1015.txt		Context/ Duplicate Processing End TS		10/16/2009 12:46:51			
FORE File Header		#HD#OATS D1999-01,20091015,Test_ZZZY_1015_1,4664,,,ZZZY,							
FORE File Trailer		#TR#.1970							
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 Reporting 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: This feature is only available on the Reporting Summary page.

Export

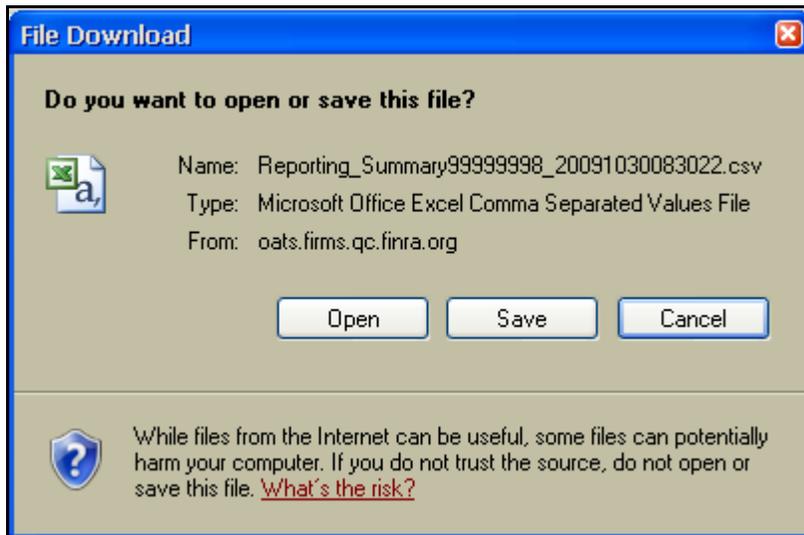
The Export function creates a comma separated values file (delimited data file) that can be used to manage, sort, and aggregate the data outside the OATS Interface.

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. When the user is viewing the screen using the **Transmitting** or **Reporting** perspective:
 - 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
 - OSO ID will be populated with the OSO ID of the logged in user
 - MPID will be populated with 'N/A'
4. When the user is viewing the screen using the **Firm** perspective:
 - 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'.
 - 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.
 - OSO ID will be populated with 'N/A'
5. A value of 0 indicates that 0 records apply to the particular count.
6. A blank statistic indicates that the value is NOT available as 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 FORI	Accepted	Rejected	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
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	
20091015	N/A	ALL	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	
20091016	N/A	ZZZY	1	1	0	296	110	134	0	0	2	58	0	0	0	0	
20091019	N/A	ALL	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	
20091021	N/A	ALL	0	0	0	0	0	0	0	0	0	0	0	0	0	0	



Note: This feature is only available on the Reporting Summary page.

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 Reporting Technical Specifications 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.

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

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 Reporting Technical Specifications*.

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 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:

- Users are able to change the view of any event screen by clicking [Change View](#).
- 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**.

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 <i>[OATS Home page]</i>		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 <i>[default]</i>	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 Market Center and reason. Navigate to the list of Unmatched Events. Download Out of Unmatched Events.
	Reverse Linkage Statistics & Summary	View Reverse Linkage Statistics and Unlinked Events summarized by Linkage Type. Navigate to the list of Unlinked Events. Download Unlinked 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 the following sections:

- Hot Topics:** A text box containing a "Final Reminder to Add OATS Principal Contact" starting in September.
- System Announcements:** Two items, both marked as "New": "OATS Maintenance TODAY" and "Upcoming OATS Maintenance".
- OATS Resources:** Links for "Certificate Test Environment", "FINRA OATS", "OATS Reportable Securities", "FAQs", "Technical Specifications", "OATS Form T", and "Subscriber Manual". A helpdesk number "1-800-321-6273" is also listed.
- FORE Status as of 10/19/2009:**

Accepted	0
Rejected	0
Total	0
- Pending Online Submissions as of 10/20/2009:**

New	0
Repairs	0
Total	0
- Reporting Statistics as of 10/19/2009:**

Accepted	0
Rejected	0
Total	0
Late	0
Resubmit	0
- Out of Sequence Events as of 10/19/2009:**

Cancel	0
Cancel/Replace	0
Desk	0
Execution	0
Route	0
Total	0
- Match Statistics as of 10/16/2009:**

	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:

- **FORE Status** – The number of accepted and rejected FOREs.
- **Reporting Statistics** – The number of accepted, rejected, late and resubmitted ROEs.
- **Reporting Statistics by Market Class** – The number of accepted, rejected, late, resubmitted, Out of Sequence, matched and unmatched ROEs classified by Market Class.
- **Out of Sequence Events** – The number of Out of Sequence events for each event type.
- **Match Statistics** – The number of attempted, unmatched and match rates for all match types.

- **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.

<p>Hot Topics</p> <p>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.</p>	<p>System Announcements</p> <p>*** OATS Maintenance TODAY ***</p> <p><u>Upcoming OATS Maintenance</u></p>
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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 Reporting Technical Specifications, FINRA's OATS information, and Frequently Asked Questions.

<p>OATS Resources</p> <p><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></p> <p>OATS Helpdesk 1-800-321-6273</p>

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 OATS Testing Account

Begin Date	End Date	MPID		
08/25/2015	08/25/2015	ALL		
<input checked="" type="checkbox"/> Most Recent Data Available			Go	Reset
			Print Preview	Export

Reporting Statistics as of 08/25/2015				
Type	Description	Received	Rejected	
<input checked="" type="checkbox"/> NW	New Order Reports	331,483,412	11	
<input checked="" type="checkbox"/> OR	Combined Order/Route Order Reports	8,693,402	6	
<input checked="" type="checkbox"/> OE	Combined Order/Execution Order Reports	3,876,079	20	
	CR Cancel/Replace Report	147,991,154	15	
	RT Routing Report	52,863,038	33	
	DS Desk Report	2,815,371	757,434	
	EX Execution Report	3,272,967	2,884	
	CL Cancel Report	35,021,874	17	
	Total	588,017,295	780,420	
	Late	184,732,022		
	Resubmit	33		

FORE Status as of 08/26/2015		
Accepted		0
Rejected		77
Total		77

Out of Sequence as of 08/25/2015		
Cancel		0
Cancel/Replace		5
Desk		0
Execution		0
Route		0
Total		5

Match Statistics as of 08/25/2015					
	Attempted	Initial Unmatched Count	Reconciled Count	Current Unmatched Count	Current Match Rate
Order Trade	2,708,108	110	0	110	100%
Exchange Route	9,169,757	0	0	0	100%
Interfirm Route	1,362,788	24,554	0	24,554	98.2%
Interfirm Received	1,668,653	988	0	988	99.94%

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.

Market Class Reporting Summary

The Market Class Reporting Summary provides Reporting Statistics, Out of Sequence and Match Statistics classified by Market Class for a selected day or date range. Tape A/B securities include all symbols listed on the NYSE, NYSE Arca and NYSE Amex. Tape C securities include symbols listed on the Nasdaq Stock Market. Unlisted securities are symbols they are NOT listed, or that do NOT meet the requirements/qualifications for the CTA Plan.

Market Class Reporting Summary		Order Audit Trail System - Production Environment FINRA OATS Testing Account			
Begin Date	End Date	MPID			
08/12/2011	08/12/2011	ALL			
<input checked="" type="checkbox"/> Most Recent Data Available			Go	Reset	Print Preview
Reporting Statistics by Market Class as of 08/05/2011					
Type	Description	Total Accepted	Tape A/B	Tape C	Unlisted (OTC Equity)
NW	New	199	0	199	0
	New with Cancel	2	0	2	0
	New with Desk	0	0	0	0
	New with Cancel and Desk	0	0	0	0
OR	Combined Order/Route	113	5	108	0
	Combined Order/Route with Cancel	5	0	5	0
	Combined Order/Route with Desk	373	29	344	0
	Combined Order/Route with Cancel and Desk	0	0	0	0
OE	Combined Order/Execution	253	0	253	0
OE	Combined Order/Execution with Desk	0	0	0	0
CR	Cancel/Replace Report	4	0	4	0
RT	Routing Report	0	0	0	0
DS	Desk Report	0	0	0	0
EX	Execution Report	0	0	0	0
CL	Cancel Report	0	0	0	0
	Total	949	34	915	0
	Late	450	0	450	0
	Resubmit	20	0	20	0
Out of Sequence by Market Class as of 08/05/2011					
		Total	Tape A/B	Tape C	Unlisted (OTC Equity)
	Cancel	0	0	0	0
	Cancel/Replace	0	0	0	0
	Desk	0	0	0	0
	Execution	0	0	0	0
	Route	0	0	0	0
	Total	0	0	0	0
Match Statistics by Market Class as of 08/12/2011					
		Total	Tape A/B	Tape C	Unlisted (OTC Equity)
OTM	Attempted (Data Not Available)				
	Unmatched (Data Not Available)				
ERM	Attempted	10	6	4	0
	Unmatched	8	4	4	0
IRM	Attempted (Data Not Available)				
	Unmatched (Data Not Available)				
IRMR	Attempted (Data Not Available)				
	Unmatched (Data Not Available)				

The default view of the Market Class Reporting Summary displays the results for the most recent processed data available. 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 .

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_zzzyt_0826	08/26/2009	A	FINRAOSO	ZZZY	08/26/2009 12:07:29	2,586	IFT		
BETA_zzzyt_0825	08/26/2009	R	FINRAOSO	ZZZY	08/26/2009 12:08:19	2,586	IFT	Duplicate FORE	
BETA_zzzyt_0826	09/15/2009	R	FINRAOSO	ZZZY	09/14/2009 13:09:41	2,586	FTP	Duplicate FORE	
Transmitting OSO ID		4664		OATS ROE Count 2,586					
User ID		qcftp		OATS FORE ID 7190706185					
FORE Generation Date		08/26/2009		FORE Validation End TS 09/15/2009 05:00:09					
FORE File Size		341307		Syntax/Semantic Validation End TS					
FORE File Name		BETA_zzzyt_0826.bt		Context/ Duplicate Processing End TS 09/16/2009 08:23:05					
FORE File Header		#HD#.OATS D1999-01,20090826,BETA_zzzyt_0826,4664,,ZZZY							
FORE File Trailer		#TR#.2586							
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_zzzyt_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.

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
UBS Securities LLC

Process Date: MPID:

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 - Production Environment
UBS Securities LLC

Process Date: MPID: Out of Sequence Reason:

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 particular date. For a selected Process Date for each match type, the number of events that were attempted and were initially unmatched, along with the number of events reconciled, current unmatched count, and current match rate is displayed. Users can expand the link to view statistics by Sent to Firm MPID, Routing Firm MPID, Market Center ID, and Destination Code. Execution and Route Reports where a match is found after the initial unmatched will be credited to the firm and included in the Reconciled Count. Also, unmatched events, aggregated by Unmatched Reason Code are displayed.

Match Statistics & Summary

Process Date MPID
 08/25/2011 ALL Go Reset

[View definitions of all Unmatched Reason Codes](#)

Match Type	Destination/ Market Center	Attempted	Initial Unmatched Count	Reconciled Count	Current Unmatched Count	Current Match Rate
Order Trade	View Statistics by Market Center ID	2,708,108	110	0	110	100%
	D	0	0	0	0	0%
	DN	198,736	9	0	9	100%
	L	2,509,347	79	0	79	100%
	O	25	22	0	22	12%
Exchange Route	View Statistics by Destination Code	9,169,757	0	0	0	100%
	XA	11,053	0	0	0	100%
	XB	23,186	0	0	0	100%
	XJ	82,543	0	0	0	100%
	XK	586,758	0	0	0	100%
	XN	1,304,476	0	0	0	100%
	XP	2,324,295	0	0	0	100%
	XQ	3,949,947	0	0	0	100%
	XX	7,929	0	0	0	100%
	XY	64,329	0	0	0	100%
	XZ	815,241	0	0	0	100%
Interfirm Route	View Statistics by Sent to Firm MPID	1,362,788	24,554	0	24,554	98.2%
	ZZZB	2,523	0	0	0	100%
	ZZZU	1,360,265	24,554	0	24,554	98.19%
Interfirm Received	View Statistics by Routing Firm MPID	1,668,653	986	0	986	99.94%

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.

When viewing the unmatched events, users are able to expand the view of each record to see more detailed information. They can also select to view only currently unmatched events, or only reconciled events that were previously unmatched. A volume limitation is applied on the number of unmatched records that can be viewed on the OATS Website, please refer Appendix-C for additional details.

Unmatched Events [Back to Matching Statistics & Summary](#) Order Audit Trail System - Production Environment
FINRA OATS Testing Account

Process Date: 08/25/2015 | Match Type: Order Trade | MPID: ALL | Unmatched Reason: 4002-Matching OATS Trade ID cannot be found

Market Class: Tape A/B | Market Center ID: DN- FINRA/NYSE TRF | Unmatch Status: ALL

View match criteria and definition of unmatched codes

Order Trade Matching Inclusion Criteria	Order Trade Matching Criteria	Unmatched Execution Reason Codes
A match attempt is required when the following is true: <ul style="list-style-type: none"> Event Type Code is 'EX' or 'OE' Action Type Code is 'N' Market Center ID represents a FINRA Trade Reporting System 	The following fields are matched to trades reported to a Trade Reporting Facility: <ul style="list-style-type: none"> Order Receiving Firm MPID Issue Symbol ID OATS Trade ID Execution Timestamp 	4001 Late reported Execution or Combined Order Execution 4002 Matching OATS Trade ID cannot be found 4003 Execution Timestamp reported on the Execution event is not equal to the Trade Report 4004 Unmatched due to secondary execution match data error

Results 1 - 9 of 9

MPID	Issue Symbol	OATS Trade ID	Execution Timestamp	Firm Order ID	Market Class	Market Center ID	Event Type Code	Unmatched Code	Reconciled Timestamp	
ZZZS	USMV	K2363513744083	08/24/2015 09:36:00.495	ZZZS1B3015C03	Tape A/B	DN	OE	4002		<input type="button" value="+"/>
ZZZS	PFI	K2363087211798	08/24/2015 09:37:01.830	ZZZS1A1926EA4	Tape A/B	DN	EX	4002		<input type="button" value="+"/>
ZZZS	XLG	K2363662045170	08/24/2015 09:48:00.747	ZZZS1B8E30CEA	Tape A/B	DN	OE	4002		<input type="button" value="+"/>

Reverse Linkage Statistics and Unlinked Events

The Reverse Linkage Summary and Unlinked Events pages present feedback related to all OATS Reverse linkage processes. For a single processing date, a user is able to see the Reverse linkage summary, unlinked events summary and unlinked events for each reverse linkage process.

On the Reverse Linkage Summary screen, for a selected OATS Processing Date, the user can view the number of trade reports, exchange orders, and OATS new orders that were attempted to be linked in the reverse linkage process and the resulting unlinked counts and unlinked percentages. The default view of the Reverse Linkage Summary screen displays results for the most recent business day for which processing is complete. The users can click on Reverse Linkage Type to view a detailed summary of Unlinked Events.

OATS Summary Reporting & Feedback Rejections & Repairs Report to OATS Administration				
Reporting Summary Market Class Summary Fore Status Out of Sequence Summary Match Statistics & Summary Reverse Linkage Statistics & Summary				
Reverse Linkage Summary			Order Audit Trail System - Production Environment FINRA OATS Testing Account	
Process Date				
08/25/2015 <input type="button" value="Go"/> <input type="button" value="Reset"/>				
Process Date	Reverse Linkage Type	Total Attempted Reverse Linkage Count	Unlinked Count	Unlinked Percentage
08/25/2015	Unlinked Trade Reports	448,163	507	0.11%
	Unlinked Exchange Orders	89,083,956	536,084	0.60%
	Unlinked OATS New Orders	105,163,994	557,158	0.53%

Unlinked Events Summary

On the Unlinked Events Summary page, users can view summary information, download unlinked events, or navigate to the list of unlinked events for a single processing date. Click on any Reverse Linkage Type to view the detailed summary of unlinked events for the selected linkage type.

The Unlinked Trade Reports link in the Reverse Linkage Summary provides a summary of Unlinked Trade reports by Reporting Executing MPID, Market Center ID, Contra Executing MPID, Reporting Executing Capacity and Media Report Flag. Click on Market Center ID to view the list of unlinked events for the selected summary Market Center ID.

The Unlinked Exchange Orders link in the Reverse Linkage Summary provides a summary of Unlinked Exchange Orders by Exchange Participant ID, Exchange Code and Capacity. Click on a Destination Code to view the list of unlinked events by the selected Destination Code.

The Unlinked New Orders link in the Reverse Linkage Summary provides a summary of Unlinked New Orders by Routing Firm MPID and Receiving Firm MPID. Click on a Receiving Firm MPID to view the list of unlinked events for the Receiving Firm MPID.

Unlinked Events Summary

[Back to Reverse Linkage Summary](#)

Order Audit Trail System - Production Environment

FINRA OATS Testing Account

Process Date: 08/25/2015

Reverse Linkage Type: Unlinked Trade Reports

Reporting Executing MPID: ALL

Reporting Executing MPID	Market Center ID	Contra Executing MPID	Reporting Executing Capacity	Media Report Flag	Total Trade Count	Trades Linked to an OATS Execution Report	No Related OATS Execution Report Found	Unlinked Percentage	Download
ZZZK	L	ZZZB	A	Y	21	20	1	4.76%	
ZZZK	L	ZZZB	P	Y	2,413	2,396	17	0.70%	
ZZZK	L	ZZZB	R	N	4,025	2,120	1,905	47.33%	
ZZZK	Q	ZZZB	P	Y	5	2	3	60%	
ZZZS	DN	ZZZA	P	Y	29,458	29,458	0	0%	
ZZZS	DN	ZZZA	R	N	36,810	36,810	0	0%	
ZZZS	L	ZZZA	P	Y	485,279	485,050	229	0.05%	
ZZZS	L	ZZZA	R	N	338,734	338,568	166	0.05%	

Unlinked Events

For a single processing date, users can view or download the details of unlinked events for any Reverse Linkage type on the Unlinked Events Screen.

Unlinked Events

[Back to Reverse Linkage Summary](#)

Order Audit Trail System - Production Environment

FINRA OATS Testing Account

Process Date: 08/25/2015
 Reverse Linkage Type: Unlinked Trade Reports
 Reporting Executing MPID: ALL

Market Center ID: ALL
 Contra Executing MPID: ALL
 Reporting Executing Capacity: ALL
 Media Report Flag: ALL
 Market Class: ALL

[View Order Trade Reverse Linkage Criteria](#)

Order Trade Reverse Linkage Criteria	Order Trade Reverse Linkage Criteria	Unlinked Details
<p>The Order Trade Reverse Linkage process includes the following:</p> <ul style="list-style-type: none"> Media reported trades Non-media reports where the Reporting Executing Firm capacity is riskless <p>The Order Trade Reverse Linkage does not include the following:</p> <ul style="list-style-type: none"> Reversal, cancelled, broken, declined, and rejected trades Non-media reports where the Reporting Executing Firm capacity is agent or principal 	<p>The following fields on the Trade Report are applied to link to an OATS Execution Report:</p> <ul style="list-style-type: none"> Executing MPID/ Contra Executing MPID Issue Symbol ID OATS Trade ID Execution Timestamp <p>When an OATS Execution Report is found with matching attributes, the trade is considered linked. Otherwise, the trade is considered unlinked.</p>	<p>The OATS Reverse Linkage Process identifies eligible trades reported to a FINRA transaction reporting system where a related OATS Execution or Combined Order/Execution report was not found. A random sample of 1,000 unlinked trade reports for each market center will be available for download via the OATS Web Interface.</p>

Results 1 - 25 of 2321

Result Pages: 1 2 3 4 5 6 7 8 9 10 ... >>

Reporting Executing MPID	Contra Executing MPID	Market Class	Issue Symbol	Market Center ID	Reporting Side OATS Trade ID	Execution Timestamp	Media Report Flag	Reporting Executing Capacity	Execution Quantity	Execution Price	Reported Side Code	Control Number
ZZZK	ZZZB	Tape A/B	ABBV	L	ZZSKTB0445	08/25/2015 11:26:12.637	Y	P	25,000	64.00	S	ZZS3006603657
ZZZK	ZZZB	Tape A/B	ACC	L	ZZS67991219814716	08/25/2015 13:16:36.137	N	R	9,126	34.66	S	ZZS3010227665
ZZZK	ZZZB	Tape A/B	ACE	L	ZZSKTB0709	08/25/2015 15:28:20.200	N	R	5,703	101.63	B	ZZS3016772798
ZZZK	ZZZB	Tape A/B	BKLN	L	ZZS67991219814559	08/25/2015 12:15:42.833	N	R	253	23.28	B	ZZS3008794012

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:

- **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.
- **Automatic Repair for Order Does Not Exist in OATS** – When a New Order or Cancel/Replace order is repaired and there are subsequent events that rejected because the original order “does not exist in OATS”, those ROEs are automatically repaired. OATS will initiate this auto-repair process when a ROE is repaired that also has subsequent events that rejected for “order does not exist in OATS” within the OATS 5-day window.
- **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**.

- **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 Summary Order Audit Trail System - Production Environment
FINRA Test Firm

Process Date: 10/16/2009 | Summary Type: Rejection Code | MPID: ALL | Firm FORE ID: ALL | OSO: ALL | Go | Reset | Download All

Note: Totals of the rejection counts below may not match the actual number of ROE Rejections; each ROE may be rejected for more than one reason.

Results 1 - 6 of 6

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 repairable **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 Order Audit Trail System - Production Environment
FINRA Test Firm

[Back to Rejections Summary](#)

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

Firm FORE ID	Rejection Reason
ALL	ALL
BETA_zzzyt_1012	2006-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
<input type="checkbox"/>	300000217214	ZZZY	00001218842abc-005	10/15/2009 15:42:09	AACC	EX	3014		Unrepaired				<input type="checkbox"/>
<input type="checkbox"/>	300000219805	ZZZY	00001218842abc-005	10/12/2009 15:42:09	AACC	EX	3014		Unrepaired				<input type="checkbox"/>
<input type="checkbox"/>	300000221522	ZZZY	12363301	10/12/2009 09:40:23	AAPH	CL	3020		Repaired	10/20/2009 18:30:12	mioatszzzyt		
<input type="checkbox"/>	300000221459	ZZZY	12363301	10/12/2009 09:40:23	AAPH	NW	2102		Repaired	10/20/2009 18:30:12	mioatszzzyt		
<input type="checkbox"/>	300000223493	ZZZY	12363301	10/15/2009 09:40:23	AAPH	CL	3020		Repaired	10/20/2009 18:29:02	mioatszzzyt		
<input type="checkbox"/>	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 repairable 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:

- **Unrepaired** – no action has been taken.
- **Repaired** – the rejection has been repaired and has NOT been sent to OATS for processing.
- **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:

- **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.
- Click on the **Rejection Code** to view the details of the Rejection and open for repair.
- **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 and helps to make a determination on how to repair the events. To view the list of related events, click .
- **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	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			

Repair Reset Cancel

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

- **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.
- **Reset** - To reset the screen and populate the fields with the data from the original submission, click **Reset**.
- **Cancel** - To cancel and return back to the ROE Repair screen, click **Cancel**.
- **Change View** - To change the screen view, click [Change View](#).



Notes Related to Repairing Rejections in OATS:

- The fields associated with the rejection(s) are also presented in bold red font.
- 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.

- Required fields are indicated by bold face and font color.
 - 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.
 - 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:

- Invalid Order Receiving Firm MPID
- Invalid Routing Firm MPID
- Invalid Sent to Firm MPID
- Missing or Invalid Issue Symbol ID
- Issue Symbol invalid for Order Event Date
- Issue Symbol does not match listing market format

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

Symbol Rejection Reason	Rejection Count	Invalid Value	Corrected Value	Repair	Undo
Missing or invalid Issue Symbol ID	4		<input type="text"/>	Repair	Undo
Issue Symbol invalid for Order Event Date	42	CDII	<input type="text"/>	Repair	Undo
Issue Symbol invalid for Order Event Date	2	ASPS	<input type="text"/>	Repair	Undo
Issue Symbol invalid for Order Event Date	2	QMNDQ	<input type="text"/>	Repair	Undo
Issue Symbol invalid for Order Event Date	12	FHCO	<input type="text"/>	Repair	Undo
Issue Symbol invalid for Order Event Date	2	IPXL	<input type="text"/>	Repair	Undo
Issue Symbol invalid for Order Event Date	4	AVRNQ	<input type="text"/>	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:

- **Repair** - Enter the correct value and click **Repair**. Once Repaired, the Repair button will be disabled and the Undo button will be enabled.

- **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:

- Click on the **Firm Order ID** to view the Pending Event and open it for editing.
- **View Related Events** – To view the list of events with the same order identifier or events which are chained together, click
- **Delete Pending Events** – To delete a Pending Event, click
- **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.

- **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!

- 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.
 - Once data has been submitted, it can no longer be downloaded.
 - 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:

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

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

New Order Report
Routing Report
 Desk Report
 Execution Report
 Cancel Report
 Cancel/Replace Report
 Combined Order/Execution Report
 Combined Order/Route Report

Routing Report [Related Fields View](#)
[Change View](#)

Event Type Code RT

<p>Order Receiving Firm MPID <input type="text" value="ZZZB"/></p> <p>Action Type Code <input type="text" value="N- New order event"/></p> <p>Firm Order ID <input type="text"/></p> <p>Order Received Date <input type="text" value="20091026000000"/></p> <p>Issue Symbol ID <input type="text"/></p> <p>Order Sent Timestamp <input type="text" value="20091026"/></p> <p>Routed Shares Quantity <input type="text"/></p> <p>Routing Method Code <input type="text" value="E- Electronic"/></p> <p>Destination Code <input type="text" value="E- ECN"/></p> <p>Routed Order ID <input type="text"/></p> <p>Sent to Firm MPID <input type="text" value="MSCO"/></p> <p>Bunched Order Indicator <input type="text"/></p>	<p>Resubmit Information</p> <p>Rejected ROE Resubmit Flag <input type="text"/></p> <p>Rejected ROE ID <input type="text"/></p> <p>Firm ROE ID <input type="text" value="F5222B56"/></p> <p>Correction/Deletion Timestamp <input type="text"/></p> <p>Originating Broker/Dealer <input type="text"/></p>
---	--

Event Type

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

- **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.

- **Reset** - To clear the screen and populate the field values as per the User Preferences, click **Reset**.
 - **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.
 - **Change View** - To change the screen view, click Change View.
-



Notes Related to Creating Order Events in OATS:

- Auto-generated and auto-populated fields may be changed as needed.
 - 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.
 - Required fields are indicated by bold face and font color
 - To select multiple Desk Handling or Special Handling codes, use the Ctrl key.
 - 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:

- Create and Store **User Preferences**
- Create and Edit **Reporting Relationships**
- Create and Edit **Contacts**
- 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:

- **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.
- **Create Order Events** – Select default view when displaying events screens for creating new events.
- **ROE Repair** – Selected default view when displaying events screens for repairing rejections.

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:

Create Order Events:

ROE Repair:

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

<input checked="" type="checkbox"/> Firm ROE ID	<input checked="" type="checkbox"/> Firm Order ID
<input checked="" type="checkbox"/> Order Received Date (set to current date)	<input checked="" type="checkbox"/> Order Received Timestamp (set date portion to current date)
<input checked="" type="checkbox"/> Desk Received Timestamp (set date portion to current date)	<input checked="" type="checkbox"/> Order Sent Timestamp (set date portion to current date)
<input checked="" type="checkbox"/> Canceled Timestamp (set date portion to current date)	<input checked="" type="checkbox"/> Execution Timestamp (set date portion to current date)
<input checked="" type="checkbox"/> Order Sent Timestamp equal to Order Received Timestamp (for related events only)	

Please provide default values for any of the following fields:

Action Type Code:

Receipt or Origination

Order Receiving Firm MPID:

Program Trading Code:

Arbitrage Code:

Member Type Code:

Received Method Code:

Account Type Code:

Originating Department ID:

Receiving Department ID:

Receiving Terminal ID:

ECN Flag:

Order Handling

Time in Force Code:

Customer Instruction Flag:

Receipt by Desk or Department

Received by Desk ID:

Desk Type Code:

Route to Member, Non-Member, ECN or Exchange

Sent to Firm MPID:

Routing Method Code:

Destination Code:

Order Execution

Trader Terminal ID:

Market Center ID:

Capacity Code:



Notes Related to User Preferences:

- 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.
- 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.
- 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.
- *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.*
- 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:

- **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.
- **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				MIOATZZZYT	07/08/2009 06:09:47
994	ZZZB	Automated Securities Clearance (BRASS)	Transmitting	07/07/2009					MIOATZZZYT	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	MIOATZZZYT	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:

- **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.
- **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.
- **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.

- **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:

- **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**

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.

Results 1 - 2 of 2

Contact Type	Last Name	First Name	Title	Phone Number	Extension	Fax	Email	Create Timestamp	Edit	Delete
Compliance	Nimal	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:

- **Add a Contact** - To add a new contact, click .

Add or Edit Contacts

Contact Type Title

First Name Last Name

Phone Number Extension

Fax

E-mail Address

Populate all of the information and click Save Contact. To cancel and close the Add or Edit Contacts section of the screen, click .

- **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 Role: Account Status:

Results 1 - 1 of 1

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