

# FINRA/NYSE TRF<sup>®</sup> Portal User Manual

May 23, 2025 Document Version 1.0



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## 1. Introduction

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

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

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

Section 2 - Application and Login Overview

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

Section 3 - Trade Report Management

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

# 2. TRF Portal Login Procedure

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

https://www.nyse.com/publicdocs/nyse/FINRA\_NYSE\_TRF\_Portal\_Login\_Procedure.pdf

### 3. General Application

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

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





The screen layout displays the search filters on the top half with the results grid displayed on the bottom. For example, the **Trade Management** is shown below:



		TRF	
Trades Rejected Trades Transactions Transactions History			
Search			
Execution Date         Execution Time         Control Date           03/18/2025         To         03/18/2025	Orig         Control Date         Report Time           33/18/2025         00:00:00.000000         To         23:59:59.9999999	Contra Clearing Firm Party ID Contra Firm Compli	ance ID Contra Firm Party ID Contra Firm Side 🗸
Status   FINRA Trade ID Firm Trade ID Fractional Share Final Share Firm Trade ID Fractional Share Firm Trade ID Fi	Qty To To	Qty To Price Override V	Reporting Clearing Firm Party ID Reporting Firm Compliance ID
Reporting Firm Party ID         Reporting Firm Side V         Short Sale Indicator         V	Symbol Trade ID Trade Modifier 3	✓ SRC	Q. Search
			🕑 Detail 🕑 Add 🕑 Bust 🕑 Update よ
Status FINRA Final Status Trade ID Execution Date/T	me Report Time Symbol Price	Qty As Of Indicator	Clearing Instr Clearing Price Contra Clearing Firm
TRAK - Accepted Pending 300000025 2025-03-18 11:17:	L3.428793000 11:17:13.429417530 IBM 0.000252	465	12 - Customer Trade 0 0005
TRAK - Accepted Pending 3000000245 2025-03-18 11:17:	1.428751000 11:17:41.429531319 IBM 0.000252	6555	11 - QSR Clear 0 0005
TCAK - Cancelled Pending 3000000368 2025-03-18 11:19:	36.428450000 11:19:36.429737016 SPY 0.000252	100	12 - Customer Trade 0 0161
TRAK - Accepted Pending 300000377 2025-03-18 11:17:	58.428704000 11:17:58.429557374 IBM 0.00025	100	12 - Customer Trade 0 0005
TCAK - Cancelled Pending 3000000390 2025-03-18 11:19:	38.428445000 11:19:38.429749077 SPY 0.00025	2084	13 - Self Clear 0 0005
TRAK - Accepted Pending 3000000445 2025-03-18 11:20:	0.428400000 11:20:00.429793072 SPY 0.000254	6051	98 - QSR no Clear 0 0161
TCRK - Corrected Pending 300000885 2025-03-18 11:20:	32.428359000 11:22:22.645525112 SPY 0.000252	100 false - trade is not an As-Of trade (default)	13 - Self Clear 0 0005
TRAK - Accepted Pending 3000000597 2025-03-18 11:18:	24.428637000 11:18:24.429636087 IBM 0.00025	100	98 - QSR no Clear 0 0005
TCRK - Corrected Pending 3000001006 2025-03-18 11:21:	06.428290000 11:22:50.685789639 SPY 0.000252	100 false – trade is not an As-Of trade (default)	11 - QSR Clear 0 0161
TRAK - Accepted Pending 3000000775 2025-03-18 11:21:	42.428245000 11:21:42.430371743 SPY 0.000252	100	13 - Self Clear 0 0005
TRAK - Accepted Pending 3000000951 2025-03-18 11:22:	39.428233000 11:22:39.429921514 SPY 0.000252	100	13 - Self Clear 0 0005
TRAK - Accepted Pending 3000001048 2025-03-18 11:19:	28.428470000 11:19:28.429733638 IBM 0.000254	6244	12 - Customer Trade 0 0161
4 > 4			*
	Total Rows: 118		

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

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

TRF				
ntrol Date 02/19/2025	Origina	Control Date 02/19/2025	5	
ntra Firm Compliance ID	Contra	Firm Party ID		
NRA Trade ID	From	Fractional Share Qty	То	Fractional Share Qty

#### 3.1 Grids

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

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





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

Sorting	
	Report Time 🛧 👘 F
	09:15:08.925161809 (
	09:15:09.925155412 (
	09:15:11.925148619 (
	09:15:13.925149601 (
	09:15:15.925138289 (
	09:15:16.925147670 (
	09:15:20.925160699 (
	09:15:29.925149523 (
	09:15:30.926420228 (
	09:15:30.926420228 (
	00.15.00.005067156

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

# 3.4 Filtering

Filtering grids can be accomplished two different ways:



> FINRA Final Status		
> FINRA Parent Trade ID		Colum ns
✓ FINRA Trade ID	ľ	57 7
Contains <ul> <li>Filter</li> </ul>		"Ilters
> FINRA Trade Modifier 3		
> FINRA Trade Status		
) Firm Trado ID	•	

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

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

Publish Indicator	$\nabla$	rence Report Fa
	Equals	
	Filter	

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



	Þ	Filter	•
Total Rows: 8			Filtered: 1

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

#### 3.5 Column Reordering

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



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



3.6 Saving and Loading Grid Configurations



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

Filter	X
Filter Name	
Tape Eligible Only	
Default 🔿 X	
	_
Subm	it

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





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

Clicking Clear Filters will remove all current filters.

# 4. Trade Report Management

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

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

<sup>4.1</sup> Trades

E PRISM @				TF	RF			j ,	Bryan Tob
RADE MANAGEMENT									6
Trades Rejected Trades Tr	ansactions Transactions Histor	(							
		Execution To	me Execution Ti	me					
xecution Date 02/19/2025		From 00:00:00.0	00000 To 23:59:59.9	39999 Control	Date 02/19/2025	0	riginal Control Date 02/19/2025	3	
Report Time	Report Time	Contra Clearing Ein	n Number Party ID	Contra	Firm Compliance ID		ontra Eiros Parts ID		
rom 00:00:00.000000	To 23:59:59.999999	contra creating th	a number runty to	Contra	ram compliance to		ond a rank ranky to		
iontra Firm Side		✓ Status		V FINRA	Trade ID	P	rom Fractional Share Qty	To Fractional SP	hare Qty
rom Price	To Price	From Qty	To Qty	Price 0	Iverride	✓ R	leporting Clearing Firm Number P	arty ID	
eporting Firm Compliance ID		Reporting Firm Par	ty ID	Report	ing Firm Side	✓ 5	ihort Sale Indicator		
ymbol		Trade ID		Trade F	Modifier 3	✓ S	.RC		
Search									
							<b>C</b> Ac	d 🕑 Bust 🕑 Up	date 🗗 🖏
Status	Trade Report Type	Trade ID	Execution Date/Time	Report Time	Symbol	Qty	Price P	ublish Indicator	As
TRAK - Accepted	0 - Submit	300000026	2025-02-19 09:15:08.924	09:15:08.925161809	DGL	100	996.973184 Y	- Publish	1
TREJ - Rejected	0 - Submit	300000050	2025-02-19 09:15:11.924	09:15:11.925148619	SBH	100	973.029424 Y	- Publish	
GTRJ - Rejected	0 - Submit	300000090	2025-02-19 09:15:16.924	09:15:16.925147670	VIG	6922	970.320696 Y	- Publish	0
TCAK - Cancelled	0 - Submit	300000194	2025-02-19 09:15:29.924	09:15:29.925149523	RISE	100	1016.9807 Y	- Publish	1
FRJ	6 - Cancel	300000202	2025-02-19 09:15:30.924	09:16:42.045068989	тск	5397	1005.846368 Y	- Publish	fi a
TCAK - Cancelled	0 - Submit	300000202	2025-02-19 09:15:30.924	09:15:30.926420228	тск	5397	1005.846368 Y	- Publish	
FRJ	0 - Submit	300000202	2025-02-19 09:15:30.924	09:15:30.926420228	TCK	5397	1005.846368 Y	- Publish	
GTRJ - Rejected	0 - Submit	300000218	2025-02-19 09:15:32.924	09:15:32.925267156	DK	100	1017.758552 Y	- Publish	
TCRK - Corrected	5 - Correction	300000754	2025-02-19 09:15:35.924	09:16:47.101841202	EWJ	100	996.640222 Y	- Publish	fa
TREJ - Rejected	0 - Submit	300000274	2025-02-19 09:15:40.924	09:15:40.925149664	SRS	100	984.136208 Y	- Publish	
3	n Colomb	2000000000	2025 02 10 00-15-42 024	00115140 005156544	101	100	004 007304 V	Budallada	*

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

#### 3.1.1 Add Trades

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



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

	$\checkmark$				
Upload (Ex Reset	xample.xlsx): 🗘 Submit	Trades To Report: 0 Invalid	Trades: 0 Successfully R	Reported Trades: 0	
#	As Of Indicator	Clearing Instr	Clearing Price	© Contra Clearing Firm Number Party ID	Со

• Upload the file

١



• Click the icon

<b>Upload (Example.xlsx): 土</b> Reset Submit	Trades To Report: 0 Invalid Tr	ades: 0 Successfully Re	ported Trades: 0		× ۵
# As Of Indicato	Clearing Instr	Clearing Price	Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Source	Contra Clearing Firm
			No Rows To Show		E Columns P Filters
			Total Rows: 0		

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

h: This Mac "Downloads" Network				
2024	^	Date Modified	Size	Kind
blankleaf.xlsx		Dec 23, 2024 at 13:47	420 KB	Microsk (.xlsx)
Book1.xlsx		Apr 9, 2024 at 17:59	121 KB	Microsk (.xlsx)
Book1.xlsx		Apr 9, 2024 at 17:59	121 KB	Microsk (.xlsx)
Book3.xlsx		Apr 10, 2024 at 15:46	10 KB	Microsk (.xlsx)
date.xlsx		Dec 23, 2024 at 13:49	420 KB	Microsk (.xlsx)
dateTime.xlsx		Dec 23, 2024 at 13:51	420 KB	Microsk (.xlsx)
empty.xlsx		Dec 23, 2024 at 13:59	420 KB	Microsk (.xlsx)
Example (2).xlsx		Apr 29, 2024 at 16:21	9 KB	Microsk (.xlsx)
Example File - Test.xlsx		Aug 15, 2024 at 18:01	18 KB	Microsk (.xlsx)
Example File - Upload.xlsx		Aug 15, 2024 at 17:59	14 KB	Microsk (.xlsx)
Example File.xlsx		May 3, 2024 at 14:09	9 KB	Microsk (.xlsx)
Example_10_21_2024_2.xlsx		Oct 21, 2024 at 16:12	63 KB	Microsk (.xlsx)
Example_10_31_2024.xlsx		Oct 31, 2024 at 11:03	15 KB	Microsk (.xlsx)
Example_11_4_2024_0.xlsx		Nov 4, 2024 at 16:02	20 KB	Microsk (.xlsx)
Example_11_4_2024_1.xlsx		Nov 4, 2024 at 13:53	12 KB	Microsk (.xlsx)
Example_11_5_2024_1.xlsx		Nov 5, 2024 at 09:44	48 KB	Microsk (.xlsx)

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



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

• All the trades are good to report.

Upload (E	xample.xlsx): 🔔 Downlo	ad: 皆 🛛 Trades To Report:	1 Invalid Trades: 0 St	uccessfully Reported Trades: 0			٩
Reset	Submit						۵
#	As Of Indicator	Clearing Instr	Clearing Price	Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Source	Contra Clearing Firm	1
1	1	13		0161	с	83	ŝ
							umns ▷ Filters
				Total Rows: 1			

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

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

load (Example.xlsx): 2 Download: 1 Trades To Report: 6 Invalid Trades: 2 Successfully Reported Trades: 0							
# As Of Indicator	Clearing Instr	Clearing Price	Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Source	Contra Clearing Fire		
2 2	13		0161	c	83		
5 2			0161	A	83		
1 1	13		0161	C	83		
3 1	13		0161	с	83		
4 1	13		0161	C	83		
6 1	13		0161	с	83		
			Total Rows: 6				

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

		Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Source	Contra Clearing Fire
13		0161	с	83
		0161	A	83
13		0161	с	83
13		0161	с	83
13		0161	c	83
13		0161	с	83
_		Total Rows: <b>6</b>		_
		Total Rows: 6		
_		Total Rows: 6	Page 😈 Row	Per Par 1. As Of Indicat
	13 13 13 13	13 13 13 13 13	13 0161 13 0161 13 0161 13 0161 13 0161	13     0161     C       13     0161     C       13     0161     C       13     0161     C       13     0161     C

	#	As Of Indicator	Clearing Instr	Clearing Price	Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party	y ID Source	Contra Clearing Firm	
0	2	2	13		0161	с		83	E Co
0	5	2			0161	A		83	lumr
0	1	1	13		0161	с		83	S
•	3	1	13		0161	С		83	7
0	4	1	13		0161	с		83	ilters
•	6	1	13		0161	С		83	
					Total Rows: 6	1. A: 2. Cl 3. Cd	s Of Indicator: 0, 1 learing Instr: 10, 11, 1 ontra Clearing Firm N	12, 13, 98 umber Party ID Sourc	æ: C

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

set Submit									
#	As Of Indicator	Clearing Instr	Clearing Price	Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Source	Contra Clearing Fir			
2	리	13		0161	c	83			
5	2			0161	A	83			
1	1	13		0161	c	83			
3	1	13		0161	c	83			
4	1	13		0161	c	83			
6	1	13		0161	С	83			

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

#         As Of Indicator         Clearing Instr         Clearing Price         Contra Clearing Firm Number Party ID         Contra Clearing F	Upload (Example.xlsx): 🍰 Download: 🖥 Trades To Report: 6 Invalid Trades: 2 Successfully Reported Trades: 0 🍳								
#         As Of Indicator         Clearing Instr         Clearing Price         Contra Clearing Firm Number Party ID         Contra Clearing Firm Number Party ID Source	Reset Submit								
2       2       13       0161       C       83         0       5       2       1       0161       A       83         0       1       1       13       0161       C       83         0       3       1       13       00.1       0161       C       83         0       4       1       13       00.2       0161       C       83         0       6       1       13       00.2       0161       C       83	Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Contra Clearing Firm Number Party ID Source Contra Clearing Firm							
5         2         1         1         1         1         3         3         3         3         1         3         3         1         3         1         3         1         3         1         3         1         3         3         1         3         1         3         1         3         3         1         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3         3	0161 C	0161 C 83 0							
1       13       0161       C       83         3       1       13       00.1       0161       C       83         4       1       13       200.2       0161       C       83         6       1       13       200.2       0161       C       83	0161 A	0161 A 83 0							
• 3       1       13       100.1       0161       C       83         • 4       1       13       200.2       0161       C       83         • 6       1       13       200.2       0161       C       83	0161 C	0161 C 83							
• 4         1         13         200.2         0161         C         83           • 6         1         13         0161         C         83	0161 C	0161 C 83 V							
● 6 1 13 0161 C 83	0161 C	0161 C 83							
	0161 C	0161 C 83							
Total Rows: 6	Total Rows: 6	Total Rows: 6							

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

2130161C8352-0161A831130161C834130161C836130161C83	#	As Of Indicator	Clearing Instr	Clearing Price Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Source	Contra Clearing Fir
5         2         Image: A state of the	2	1	13	0161	с	83
1       13       0161       C       83         3       13       0161       C       83         6       1       13       0161       C       83	5	2		0161	А	83
3         1         13         0161         C         83           4         1         13         0161         C         83           6         1         13         0161         C         83	1	1	13	0161	с	83
1         13         0161         C         83           6         1         13         0161         C         83	3	1	13	0161	c	83
6 1 13 0161 C 83	4	1	13	0161	c	83
	6	1	13	0161	с	83

Upload	Ipload (Example.xisx): 🍰 Download: 🖥 Trades To Report: 6 Invalid Trades: 2 Successfully Reported Trades: 0							
Reset	Submit					\$		
#	As Of Indicator	Clearing Instr	Clearing Price	Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Source	Contra Clearing Firm		
<b>2</b>	1	13	-	0161	с	83 0		
0 5	2			0161	A	83		
<b>9</b> 1	1	13	200.2	0161	c	83		
<b>3</b>	1	13	100.1	0161	с	83 7		
04	1	13	-100.1	0161	с	83 Iter		
<b>o</b> 6	1	13		0161	c	83		
				Total Rows: 6				

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

NY9

Upload ( Reset	Example.xlsx); 🔔 Downlos Submit	ad: 🎦 Trades To Report: 🕬	6 Invalid Trades: 0 Su	ccessfully Reported Trades: 0		× ۹ ۵
#	As Of Indicator	Clearing Instr	Clearing Price	Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Source	Contra Clearing Firm
<b>2</b>	1	13		0161	c	83 0
<b>o</b> 5	1	13		0161	c	83
1	1	13		0161	С	83
<b>9</b> 3	1	13	100.1	0161	с	83 7
<b>9</b> 4	1	13	200.2	0161	C	83 ilter
<b>o</b> 6	1	13		0161	c	83
				Total Rows: 6		





• All the trades success to report

Upload (Example.xlsx): 🗘 Trades To Report: Reset Submit	1 Invalid Trades: 0 Succ	All actions su essfully Reported Trades: 1	Ibmitted successfull	ly			٩
# Fractional Share Qty	Locked In Indicator	rep Time Prev	viously Reported	Price	Price Override	Price Type Publis	ih 1
							E Columns  P Filters
		No K	ovs lo Snow				

• All the trades fail to report

All actions failed. please check failed results pload (Example.xlsx):  Download: Trades To Report: 6 Invalid Trades: 6 Successfully Reported Trades: 0								
# As of Indicator Clearing Instr Clearing Price Contra Clearing Firm Number Party ID Contra Clearing Firm Number Party ID Source Contra Cle	aring Firi							
• 1 1 13 0161 C 83	E C							
2 1     13     101     C     83	ľum							
• 3 1 13 0161 C 83	su							
• 4 1 13 0161 C 83	Ŷ							
5 1 13 0161 C 83	ilter							
• 6 1 13 0161 C 83	UN							



• Part of trades fail to report

Upl	Iload (Example.xlsx): 🗘 Download: 🖥 Trades To Report: 6 Invalid Trades: 0 Successfully Reported Trades: 0 Q								
	8561	Subline					\$		
	#	As Of Indicator	Clearing Instr	Clearing Price	Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Source	Contra Clearing Firm		
0	5		13		0161		83 Colu		
0	1	1	13		0161	6	83		
0	2	1	13		0161	c	83		
0	3	1	13		0161	C	83 V		
0	4	1	13		0161	c	83 fers		
0	6	1	13		0161	c	83		
					Takal Dawas d				
					IOTAI KOWS: 6				

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

Uploa Rese	d (Ex	ample.xlsx): 🗘 Submit	Download: 🖥 Trades To Report:	2/6 6 Invalid Trades: 2	actions failed. please check failed Successfully Reported Trades: 4	l results	۵ ۵	<u>م</u>
1.	#	As Of Indicator	Clearing Instr	Clearing Price	Contra Clearing Firm Number Party I	D Contra Clearing Firm Number Party ID Source	Contra Clearing Fire	'n.
0	4	1	13		0161	C	83	90
0	5	1	13		0161	C C	83	lum
			2				т нихо	▷ Filters
					Total Rows: 2			



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

2/6 actions failed. please check failed results       Image: Complexity: C											
pload (Example.xitx): 2 Download: 1 Trades To Report: 6 Invalid Trades: 2 Successfully Reported Trades: 4 Meet Submit  The marty ID Contra Give-up Firm Party ID Source Contra Give-up Firm Party Role Exacution Date/Time Firm Trade ID Fractional Share Qty Locked In Indicate  A A 20250128-01:45:30.0000. 00001928b6b572e44  5 5  Description  De			2/6 actions failed. please	check failed results							
Rest       Submit       Image: Party ID       Contra Give-up Firm Party ID Source       Contra Give-up Firm Party Role       Execution Date/Time       Firm Trade ID       Fractional Share Qty       Locked In Indicate       Image: Party ID       Contra Give-up Firm Party ID       Contra Give-up Firm Party Role       Execution Date/Time       Firm Trade ID       Fractional Share Qty       Locked In Indicate       Image: Party ID       Contra Give-up Firm Party Role       Execution Date/Time       Firm Trade ID       Fractional Share Qty       Locked In Indicate       Image: Party ID       Contra Give-up Firm Party Role       Execution Date/Time       Firm Trade ID       Fractional Share Qty       Locked In Indicate       Image: Party ID       Contra Give-up Firm Party Role       Execution Date/Time       Firm Trade ID       Fractional Share Qty       Locked In Indicate       Image: Party ID       Contra Give-up Firm Party Role       Execution Date/Time       Firm Trade ID       Contra Give-up Firm Party Role       Execution Date/Time       Firm Trade ID       Contra Give-up Firm Party Role       Execution Date/Time       Firm Trade ID       Contra Give-up Firm Party Role       Execution Date/Time       Firm Trade ID       Contra Give-up Firm Party Role       Execution Date/Time       Firm Trade ID       Contra Give-up Firm Party Role       Execution Date/Time       Firm Trade ID       Contra Give-up Firm Party Role       Execution Date/Time       Firm Trade ID       Contra Give-up Firm Pa	Upload (Example.xis): 🍰 Download: 🖺 Trades To Report: 6 Invalid Trades: 2 Successfully Reported Trades: 4										
Image: Party ID       Contra Give-up Firm Party ID Source       Contra Give-up Firm Party Role       Execution Date/Time       Firm Trade ID       Fractional Share (bt)       Locked In Indicate         0       4       20250128-01:45:30.0000.       00001928b66572e44       20250128-01:45:30.0000.       00001928b66572e44       000001928b66572e44       00001928b66572e44       000	Reset Submit										
#         m Party ID         Contra Give-up Firm Party ID Source         Contra Give-up Firm Party ID Source         Execution Date/Time         Firm Trade ID         Fractional Share Qty         Locked In Indicate           4         20250128-01:45:30.0000.         00001928b6b572e44         20250128-01:45:30.0000.         00001928b6b572e44         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8         8 <td< th=""><th></th><th></th><th></th><th></th><th></th><th></th><th>\$</th></td<>							\$				
1         20250128-01:45:30.0000.         00001928b6b572e44         00001928b6b572e44           5         20250128-01:45:30.0000.         00001928b6b572e44         00001928b6b572e44	# rm Party ID	Contra Give-up Firm Party ID Source	Contra Give-up Firm Party Role	Execution Date/Time	Firm Trade ID	Fractional Share Qty	Locked In Indicato				
5         20250128-01145:30.0000         000019288660572444         PERS	0 4			20250128-01:45:30.0000	00001928b6b572e44		Col				
► Pres	0 5			20250128-01:45:30.0000	00001928b6b572e44		m				
₽ Files											
							¥ ⊒				
							ters				
		-									
Total Rows: 2			Total Rows:	2							

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

Up R	load (E eset	xample.xlsx): 🗘 Submit	Download: 👌 Trades To Report: 🛛	2/6 5 Invalid Trades: 2	actions failed. please check faile Successfully Reported Trades: 4	ed results	٩	
	#	As Of Indicator	Clearing Instr	Clearing Price	Contra Clearing Firm Number Party	ID Contra Clearing Firm Number Party ID Source	Contra Clearing Fire	- 11
0	4	1	13		0161	с	83	
9	5	1	13		0161	c	83 00	
							≯ Fitos	
					Total Rows: 2			
						1. [FORMAT_VALIDATION] Execution Date/Time: TRD_DATE m	ust match date of TRANSACT_TI	IME



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

Upload (E Reset	xample.xlsx): 🗘 I Submit	Download: 🎦 🛛 Trades To Report:	2/6 6 Invalid Trades: 0	actions failed. please check failed results Successfully Reported Trades: 4			× ۹
#	As Of Indicator	Clearing Instr	Clearing Price	Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Source	Contra Clearing Fi	irı
<b>9</b> 4	1	13		0161	c	83	BC
<b>o</b> 5	1	13		0161	c	83	lumr
				Total Rows: 2			▷ Filters

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

ipload (E: Reset	xample.xlsx): 🗘 Downlos Submit	ad: 🎦 Trades To Report:	6 Invalid Trades: 1	Successfully Reported Trades: 0		(C
#	As Of Indicator	Clearing Instr	Clearing Price	Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Source	Contra Clearing Firm
<b>o</b> 2	1	13		0161	с	83
9 5	2			0161	A	83
2 1	1	13		0161	с	83
3	1	13		0161	с	83
94	1	13		0161	с	83
9 6	1	13		0161	с	83
				Total Rows: 6		



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

- (CANCEL) original control date and execution dates are T-Date:
- 1. Select trades by clicking on the check button

TR/	ADE MANAGEMENT							Ľ
Tra	ades Rejected Trades Transactions Transa	actions History						
Se	arch						×	~
						🕑 Add 🕑 Bust	🕑 Update 📳	¢
	As Of Indicator	Clearing Instr	Clearing Price Contra Clearing Firm Number Party II	Contra Clearing Firm Number Party ID Source	Contra Clearing Firm Number Party Role	Contra Firm Compliance ID	Contra Firm Nur	
⊻	false - trade is not an As-Of trade (default)	11 - QSR Clear	0 0161	с	83 - Clearing Firm Number	CBSN000009	2	BCO
	false - trade is not an As-Of trade (default)	11 - QSR Clear	0 0161	c	83 - Clearing Firm Number	CBSN000009	2	um
~	false - trade is not an As-Of trade (default)	11 - QSR Clear	0 0161	с	83 - Clearing Firm Number	CBSN000009	2	ŝ
⊻	false - trade is not an As-Of trade (default)	11 - QSR Clear	0 0161	с	83 - Clearing Firm Number	CBSN000009	2	7
	false - trade is not an As-Of trade (default)	11 - QSR Clear	0 0161	c	83 - Clearing Firm Number	CBSN000009	2	ilter
	false - trade is not an As-Of trade (default)	11 - QSR Clear	0 0161	c	83 - Clearing Firm Number	CBSN000009	2	
	false - trade is not an As-Of trade (default)	98 - QSR no Clear	0 0161	c	83 - Clearing Firm Number	cN00980000Y0AAN	2	

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

les '	Fo Bus	4: 4 Invalid Trades: 0	Successfully Busted Trad	es: 0			
	Firm T	rade ID	Reporting Fire	n Order ID			
Update		teset Submit					
	- #	Firm Trade ID	Orig Control Date	Orig Trade ID	Reporting Firm Order ID		
] 0	1	62272404-15	20250311	300000011	0		
•	2	62272406-15	20250311	300000020	0		
•	з	62272407-17	20250311	300000032	0		
	4	62272408-17	20250311	300000044	0		

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

Trad	les T	o Bust: Firm Tra	4 Invalid Trades: 0 de ID	Successfully Busted Tra	des: 0	
	TEST			Reporting Fi	rm Order ID	
Upo	date	Re	set Submit			
		#	Firm Trade ID	Orig Control Date	Orig Trade ID	Reporting Firm Order ID
	0	1	62272404-15	20250311	300000011	0
	0	2	62272406-15	20250311	300000020	0
	0	3	62272407-17	20250311	300000032	0
	0	4	62272408-17	20250311	300000044	0

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



TEST				Reporting Firm C	Order ID	
Upo	late	#	Firm Trade ID	Orig Control Date	Orig Trade ID	Reporting Firm Order ID
	0	1	TEST	20250311	300000011	0
	0	2	TEST	20250311	300000020	0
	0	3	TEST	20250311	300000032	0
				20220244	200000011	0

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

Trades To Bust: 4 Invalid Trades: 0 Successfully Busted Trades: 0 Firm Trade ID											
	TEST		Reporting Firm Or	der ID							
Update	Re	set Submit									
	#	Firm Trade ID	Orig Control Date	Orig Trade ID	Reporting Firm Order ID						
	1	TEST	20250311	300000011	0						
	2	TEST	20250311	300000020	0						
	3	TEST	20250311	300000032	0						
	4	TEST	20250311	300000044	0						
					Confirmation	×					
			bmit 4 trade reports?								
					All you sure you hank to sur	Confirm Cancel					

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

Trades To Bust: 4 Invalid Trades: 0 Firm Trade ID TEST	Successfully Busted Trades: 4	All actions submitted successfully
Update Reset Submit		
# Firm Trade ID	Orig Control Date Orig Trade ID	Reporting Hirm Order 1D

- (REVERSAL) Original control date and execution date are not today:
- 1. Select trades by clicking on the check button



TRA	DE MANAGEMENT							Ľ
Trac	des Rejected Trades Transactions Transac	tions History						
Sea	irch						×	/
						🕑 Add 🕑 Bust	Update 🗳 🕽	Q
	As Of Indicator	Clearing Instr	Clearing Price Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Source	Contra Clearing Firm Number Party Role	Contra Firm Compliance ID	Contra Firm Numbe	1
⊻	false - trade is not an As-Of trade (default)	98 - QSR no Clear	0 161	с	83 - Clearing Firm Number	11-QSR-CLR-sef	2	E Co
~	false - trade is not an As-Of trade (default)	11 - QSR Clear	0 0161	c	83 - Clearing Firm Number	CBSN000009	2	um
$\checkmark$	false - trade is not an As-Of trade (default)	11 - QSR Clear	0 0161	c	83 - Clearing Firm Number	CBSN000009	2	ŝ
$\checkmark$	false - trade is not an As-Of trade (default)	11 - QSR Clear	0 0235	c	83 - Clearing Firm Number	CBSN000009	2	2
✓	false - trade is not an As-Of trade (default)	11 - QSR Clear	0 0235	с	83 - Clearing Firm Number	CBSN000009	2	litera
	1 = true - trade is an As-Of trade	10 - AGU	0 161	c	83 - Clearing Firm Number	11-QSR-CLR-sef	2	Ĩ
	false - trade is not an As-Of trade (default)	11 - QSR Clear	0 0235	c	83 - Clearing Firm Number	CBSN000009	2	

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

Trades To Bust:	5 Invalid Trades: 0	Successfully Busted Trades: 0				٩
Clearing	Instr 🗸	Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Source	Contra Clearing Firm Number Party Role	Contra Firm Compliance ID	Contra Firm Number of Party ID
Contra F	irm Order ID	Contra Firm Text	Firm Trade ID	Locked In Indicator	Prep Time	Previously Reported
Price Typ	20	Reporting Clearing Firm Number Party ID	Reporting Clearing Firm Number Party ID Source	Reporting Clearing Firm Number Party Role	Reporting Firm Compliance ID	Reporting Firm Number of Party IDs
Reportin	g Firm Order ID	Reporting Firm Text	Sec Exec ID	Sec Firm Trade ID		
Update	et Submit					6 <b>±</b>
#	Clearing Instr	Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Sou	rce Contra Clearing Firm Number	Party Role Contra Firm Compliar	ce ID Contra Firm Number of Party
1	QSR no clear	161	с	83	11-QSR-CLR-sef	2
2	QSR clear	0161	с	83	CBSN000009	2 0
🗌 🕥 3	QSR clear	0161	с	83	CBSN000009	2 2
0 4	QSR clear	0235	с	83	CBSN000009	2 7
0 5	QSR clear	0235	c	83	CBSN000009	2

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

Trade	es T	o Bust:	5 Invalid Trades: 0 S	iuccessfull	y Busted Trades: 0									٩
0		Clearing	Instr 🗸		Contra Clearing Firm Number Party ID		Contra Clearing Firm Number Party ID Source Firm Trade ID		Contra Clearing Firm Number Party Role	Contra Firm C	ompliance ID		Contra Firm Number of Party ID	
0		Contra F	Firm Order ID		exampletxt		TEST		Locked In Indicator	Prep Time			Previously Reported	~
0		Price Ty	pe		Reporting Clearing Firm Number Party ID		Reporting Clearing Firm Number Party ID Source		Reporting Clearing Firm Number Party Role	Reporting Fire	n Compliance ID		Reporting Firm Number of Party	IDs
0		Reportin	ng Firm Order ID		Reporting Firm Text		Sec Exec ID		Sec Firm Trade ID					
Upd	late	Re	set Submit											6¢
$\checkmark$		#	Clearing Instr	Contra C	learing Firm Number Party ID	Contr	ra Clearing Firm Number Party ID Sourc	e	Contra Clearing Firm Number	Party Role	Contra Firm Compliance	ID	Contra Firm Number of Pa	arty
~	٥	1	QSR no clear	161		с			83		11-QSR-CLR-sef		2	0
	0	2	QSR clear	0161		С			83		CBSN000009		2	dum
	0	3	QSR clear	0161		С			83		CBSN000009		2	su
	0	4	QSR clear	0235		с			83		CBSN000009		2	7
	٥	5	QSR clear	0235		С			83		CBSN000009		2	Filter
														0

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

Trades To Bust: 5 Invalid Trades: 0 Suc	ccessfully Busted Trades: 0				(
Clearing Instr 🗸	Contra Clearing Firm Number P	arty ID Contra Clearing Firm Number Party ID Source	Contra Clearing Firm Number Party Role	Contra Firm Compliance ID	Contra Firm Number of Party ID
Contra Firm Order ID	exampletxt	TEST	Locked In Indicator	Prep Time	Previously Reported
Price Type	Reporting Clearing Firm Number	Reporting Clearing Firm Number Party ID Source	Reporting Clearing Firm Number Party Role	Reporting Firm Compliance ID	Reporting Firm Number of Party IDs
Reporting Firm Order ID	Reporting Firm Text	Sec Exec ID	Sec Firm Trade ID		
Update Reset Submit					
					۲ (۲)
# ype Contra Firm Side	Contra Firm Text	Contra Give-up Firm Party ID Contra Give-	IP Firm Party ID Source Contra Give	-up Firm Party Role Control Date	Firm Trade ID Loc
🗌 📀 1 Sell	exampletxt			20250307	TEST Yes
2 Buy	exampletxt			20250307	TEST Yes
🗌 🔮 3 🛛 Buy	exampletxt			20250307	TEST Yes
🗌 🔮 4 Sell	exampletxt			20250307	TEST Yes
5 Sell	exampletxt			20250307	TEST Yes

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



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

Trades To Bust: 5 Invalid Trades: 0 St	uccessfully Busted Trades: 5	All actions subm	itted successfully			٩
Clearing Instr V	Contra Clearing Firm Number Party ID Contra Firm Text	Contra Clearing Firm Number Party ID Source Firm Trade ID	Contra Clearing Firm Number Party Role	Contra Firm Compliance ID	Contra Firm Number of Part	y ID
Contra Firm Order ID	exampletxt	TEST TEST	Locked In Indicator	Prep Time	Previously Reported	~
Price Type	Reporting Clearing Firm Number Party ID	Reporting Clearing Firm Number Party ID Source	Reporting Clearing Firm Number Party Role	Reporting Firm Compliance ID	Reporting Firm Number of P	arty IDs
Reporting Firm Order ID	Reporting Firm Text	Sec Exec ID	Sec Firm Trade ID			
						6¢
# γpe Contra Firm Sid	e Contra Firm Text Contra	Give-up Firm Party ID Contra Give-u	p Firm Party ID Source Contra Give	e-up Firm Party Role Control Date	Firm Trade ID	Columns

## 4.1.3. Trade Report Update

- Correct Trades
  - View the selected trades

All the selected trades are displayed in the table.

• All the trades are valid to correct.



- Some trades are not valid to correct.
- 6. The invalid trades are marked with red exclamation. The valid trades are marked with green check.

Trades To Correct: 5 Invalid Trades: 3	Successfully Corrected Tr	ades: 0							٩	
Execution Date/Time	Qty	Pric	e	Reporting Cl Party ID	earing Firm Number	Repo	orting Firm Side 🗸 🗸		Reporting Firm Compliance ID	
Reporting Firm Order ID	Reporting Firm Order	Capacity V Cont	tra Firm Party ID	Contra Clear	ing Firm Number Party	Cont	tra Firm Side 🗸 🗸		Contra Firm Party ID Role	
Contra Firm Compliance ID	Contra Firm Order ID	Con	tra Firm Order Capacity 🗸 🗸	Trade Modifi	er 1 🗸 🗸	Trad	le Modifier 2 🗸		Frade Modifier 2 Time	
Trade Modifier 3	Trade Modifier 4	✓	de Modifier 4 Time	Reporting O	ligation 🗸	Price	e Override 🗸 🗸		TT Exempt 🗸	
Short Sale Indicator	Clearing Price	Cont TD S	tra Clearing Firm Number Party Jource	Contra Clear Role	ing Firm Number Party	Cont	ra Firm Number of Party ID		Contra Firm Number of Party SubIDs	
Contra Firm Party ID Source	Contra Firm Party Sul	DID Cont	tra Firm Party SubID Type	Contra Firm	Fext	Cont	tra Give-up Firm Party ID		Contra Give-up Firm Party ID Source	
Contra Give-up Firm Party Role	Fractional Share Qty	Prep	Time	Previously R	eported 🗸	Price	а Тура		Related Market Center 🗸	
Reporting Clearing Firm Number Party ID Source	Reporting Clearing Fit Party Role	rm Number Firm	1 Trade ID	Reporting Fin	m Number of Party	Repo SubI	orting Firm Number of Party IDs		Reporting Firm Party SubID	
Reporting Firm Party SubID Type	Reporting Firm Text	Rep	orting Give-up Firm Party ID	Reporting Gi Source	ve-up Firm Party ID	Repo	orting Give-up Firm Party Role		Sec Exec ID	
Sec Firm Trade ID	Seller Days	Y Sett	lement Date	Special Proc	ass Flag 🗸 🗸	Trad	le Report Class 🗸			
Update Reset Submit									ħά	
# Orig Trade ID	Trade ID	Execution Date/Time	Symbol Root	Symbol Sfx	Qty	F	Price	Publish Indi	cator Clearing Ins	
0 1 300000002	300000002	20250314-11:03:32.4430	IBM		12	6	5	Y	Customer trac	
4 300000008	300000008	20250314-11:45:36.2060	IBM		20	2	20	Y	Customer trac	
<b>0</b> 5 300000002	300000002	20250314-11:03:32.4430	IBM		12	6	5	Y	Customer trae	
2 300000011	300000011	20250314-12:30:15.6110	IBM		20	2	20	Y	Customer trac V	
3 300000005	300000005	20250314-11:07:12.8210	IBM		12	1	12	Y	Customer trac	



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

Trades To Correct: 5 Invalid Trades: 3 Successfully Corre	scted Trades: 0			٩
Execution Date/Time	Price	Reporting Clearing Firm Number Party ID	Reporting Firm Side 🗸 🔘	Reporting Firm Compliance ID
Reporting Firm Order ID Reporting Fir	m Order Capacity 🗸 💽 Contra Firm Party ID	Contra Clearing Firm Number Party ID	Contra Firm Side 🗸 🔘	Contra Firm Party ID Role
Contra Firm Compliance ID	Order ID Contra Firm Order Capacity	✓ Trade Modifier 1 ✓	Trade Modifier 2 V	Trade Modifier 2 Time
Trade Modifier 3	ar 4 👻 🚺 Trade Modifier 4 Time	Reporting Obligation	Price Override V	TT Exempt 🗸
Short Sale Indicator	Contra Clearing Firm Number Po ID Source	Contra Clearing Firm Number Party Role	Contra Firm Number of Party ID	Contra Firm Number of Party SubIDs
Contra Firm Party ID Source Contra Firm F	Party SubID Contra Firm Party SubID Type	Contra Firm Text	Contra Give-up Firm Party ID	Contra Give-up Firm Party ID Source
Contra Give-up Firm Party Role	are Qty Prep Time	Previously Reported	Price Type	Related Market Center
Reporting Clearing Firm Number Party ID Source Party Role	Firm Number	Reporting Firm Number of Party IDs	Reporting Firm Number of Party SubIDs	Reporting Firm Party SubID
Reporting Firm Party SubID Type	m Text Reporting Give-up Firm Party II	D Reporting Give-up Firm Party ID Source	Reporting Give-up Firm Party Role	Sec Exec ID
Sec Firm Trade ID Seller Days	✓ Settlement Date	Special Process Flag V	Trade Report Class	
Update Reset Submit				64
# Contra Clearing Firm Number Party	ID Source Contra Clearing Firm Number Part	ty Role Contra Firm Number of Party ID	Contra Firm Number of Party SubIDs	Contra Firm Party ID S
□ <b>0</b> 1	0	1		c o
□ ● 4	0	1		c in
□ <b>9</b> 5	0	1		c 5
2	83	1		C 7
3	83	1		C Iters

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

Reporting Firm Order ID	Reporting Firm Order Capacity 🗸	Contra Firm Party ID	Contra Clearing Firm Number Party	Contra Firm Side 🗸 🗸	Contra Firm Party ID Role
Contra Firm Compliance ID	Contra Firm Order ID	Contra Firm Order Capacity 🗸 🗸	Trade Modifier 1 🗸 🗸	Trade Modifier 2 V	Trade Modifler 2 Time
Trade Modifier 3 🗸	Trade Modifier 4	Trade Modifier 4 Time	Reporting Obligation 🗸 (	Price Override V	TT Exempt V
Short Sale Indicator	Clearing Price	Contra Clearing Firm Number Party ID Source	Contra Clearing Firm Number Party Role	Contra Firm Number of Party ID	Contra Firm Number of Party SubIDs
Contra Firm Party ID Source	Contra Firm Party SubID	Contra Firm Party SubID Type	Contra Firm Text	Contra Give-up Firm Party ID	Contra Give-up Firm Party ID Source
Contra Give-up Firm Party Role	Fractional Share Qty	Prep Time	Previously Reported V	Price Type	Related Market Center
Reporting Clearing Firm Number Party ID Source	Reporting Clearing Firm Number Party Role	Firm Trade ID	Reporting Firm Number of Party	Reporting Firm Number of Party SubIDs	Reporting Firm Party SubID
Reporting Firm Party SubID Type	Reporting Firm Text	Reporting Give-up Firm Party ID	Reporting Give-up Firm Party ID Source	Reporting Give-up Firm Party Role	Sec Exec ID
Sec Firm Trade ID	Seller Days 🗸	Settlement Date	Special Process Flag V	Trade Report Class	
Update Reset Submit					ħά
🗌 🛛 # 🗌 Contra Clear	ing Firm Number Party ID Source	Contra Clearing Firm Number Party Role	Contra Firm Number of Party ID	Contra Firm Number of Party SubIDs	Contra Firm Party ID
		0	1		c O
4		0	1		c Olum
5		0	1		C 33
2		83	1		C 7
3		83	1		C

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



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

Contra Firm	Iffer 3 V Indicator V	Trade Modifler 4	Trade     Trade     Cont	e Modifier 4 Time	Reporting Ob	ligation Y C	Price Override		
Contra Firm	Indicator 🗸	Clearing Price	Cont			9		• • • • • • • • • • • • • • • • • • •	*
Contra Firm			1.0 .01	a Clearing Firm Number Party Jurce	Contra Clearin Role	ng Firm Number Party	Contra Firm Number of Party ID	Contra Firm SubIDs	Number of Party
	n Party ID Source	Contra Firm Party SubID	Cont	a Firm Party SubID Type	Contra Firm T	ext C	Contra Give-up Firm Party ID	Contra Give Source	e-up Firm Party ID
Contra Give	e-up Firm Party Role	Fractional Share Qty	Prep	Time	Previously Re	ported Y	Price Type	Related Ma	rket Center 🗸 🗸
Reporting C Party ID So	Clearing Firm Number	Reporting Clearing Firm M Party Role	Number Firm	Trade ID	Reporting Fire	n Number of Party	Reporting Firm Number of Party SubIDs	Reporting I	firm Party SubID
Reporting F	Firm Party SubID Type	Reporting Firm Text	Repo	rting Give-up Firm Party ID	Reporting Giv Source	e-up Firm Party ID	Reporting Give-up Firm Party Role	e Sec Exec II	
Sec Firm Tr	rade ID	Seller Days	<ul> <li>Setti</li> </ul>	ement Date	Special Proce	ss Flag 🗸 🗸	Trade Report Class	~	
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# 0	Drig Trade ID Tr	ade ID E	Execution Date/Time	Symbol Root	Symbol Sfx	Qty	Price	Publish Indicator	Clearing Ins
1 30	00000005 30	0000005 2	0250314-11:07:12.8210	IBM		100	200.2	Y	Customer trat
2 30	000000011 30	00000011 2	0250314-12:30:15.6110	IBM		20	20	Y	Customer trac
33	00000002 30	0000002 2	0250314-11:03:32.4430	IBM		12	6	Y	Customer trat
4 30	00000008 30	0000008 2	0250314-11:45:36.2060	IBM		20	20	Y	Customer trav X
									Customer trat 7

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



Cont	stra Firm Compliance ID		Contra Firm Order ID		Con Con	stra Firm Order Capacity 🗸 🗸		Trade Modifier 1	~	Trade Modifier 2	~		Trade Modifier	2 Time
Trad	de Modifier 3	~ 🗖	Trade Modifier 4	~	Trat	de Modifier 4 Time		Reporting Obligation	· ·	Price Override	~		TT Exempt	
Sho	ort Sale Indicator	× O	Clearing Price		Con ID 5	stra Clearing Firm Number Party Source		Contra Clearing Firm Role	Number Party	Contra Firm Number of Party	y ID		Contra Firm Nu SubIDs	umber of Party
Cont	stra Firm Party ID Source		Contra Firm Party Su	D	Con	stra Firm Party SubID Type		Contra Firm Text		Contra Give-up Firm Party II	D		Contra Give-up Source	9 Firm Party ID
Cont	stra Give-up Firm Party Role		Fractional Share Qty		Prej	p Time		Previously Reported	v	Price Type			Related Marke	t Center
Repo	oorting Clearing Firm Number ty ID Source		Reporting Clearing Fi Party Role	rm Number	Firm	n Trade ID		Reporting Firm Num IDs	ber of Party	Reporting Firm Number of Pa SubIDs	arty		Reporting Firm	Party SubID
Repo	porting Firm Party SubID Type		Reporting Firm Text		C Rep	oorting Give-up Firm Party ID		Reporting Give-up F Source	irm Party ID	Reporting Give-up Firm Part	ty Role		Sec Exec ID	
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Sec   	Firm Trade ID           Reset         Submit           Orig Trade ID         300000005           3000000011         300000002	Trade 30000 30000	Seller Days  ID  00005  00011  00002	Execution D 20250314-11 20250314-12 20250314-12	Sets Pate/Time 1:07:12.8210 2:30:15.6110 1:03:32.4430	Symbol Root IBM IBM	Symbol	Special Process Flag	Qty 100 20 12	Trade Report Class Price 200.2 test for wrong price 6	Y Y Y	blish Ind	icator	Clearing Ir Customer tr Customer tr Customer tr
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	Con	tra Firm Compliance ID	Contra Firm Order ID	a	Contra Firm Order Capacity	Trade Modifier	~ (	Trade Modifier 2	Y Trade Modi	ifier 2 Time
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0	Sho	rt Sale Indicator	Clearing Price	a	Contra Clearing Firm Number Pa ID Source	ty Contra Clearing Role	Firm Number Party	Contra Firm Number of Party	y ID Contra Firm SubIDs	n Number of Party
0	Con	tra Firm Party ID Source	Contra Firm Party Sub		Contra Firm Party SubID Type	Contra Firm Tex		Contra Give-up Firm Party II	D Contra Give Source	e-up Firm Party ID
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0	Sec	Firm Trade ID	Seller Days	~ a	Settlement Date	Special Process	Flag 🖌 🗸	Trade Report Class	~	
Upda	te	Reset Submit								
_										64
	#	Orig Trade ID	Trade ID	Execution Date/1	Time Symbol Root	Symbol Sfx	Qty	Price	Publish Indicator	Clearing Ins
	∶# ○ 1	Orig Trade ID 300000005	Trade ID 300000005	Execution Date/120250314-11:07:1	Fime Symbol Root 2.8210 IBM	Symbol Sfx	Qty 100	Price 200.2	Publish Indicator	Clearing Ins
	# 1	Orig Trade ID 3000000005 3000000011	Trade ID 300000005 300000011	Execution Date/7 20250314-11:07:1 20250314-12:30:1	Fime         Symbol Root           2.8210         IBM           5.6110         IBM	Symbol Sfx	<b>Qty</b> 100 20	Price 200.2 test for wrong price	Publish Indicator Y Y	Clearing Ins Customer trac Customer trac
	# 1 2 2 3	Orig Trade ID           300000005           3000000011           300000002	Trade ID 300000005 3000000011 300000002	Execution Date/1 20250314-11:07:1 20250314-12:30:1 20250314-11:03:3	Symbol Root           2.8210         IBM           5.6110         IBM           12.4430         IBM	Symbol Sfx	Qty 100 20 12	Price 200.2 test for wrong price 6	Y Y Y Y	Clearing Ins Customer trac Customer trac Customer trac
	# 1 2 2 3 3 2 4	Orig Trade ID           3000000005           3000000011           3000000002           3000000008	Trade ID 300000005 3000000011 300000002 300000008	Execution Date/1 20250314-11:07:1 20250314-12:30:1 20250314-11:03:3 20250314-11:45:3	Symbol Root           2.8210         IBM           5.6110         IBM           12.4430         IBM           16.2060         IBM	Symbol Sfx	Qty 100 20 12 20	Price 200.2 test for wrong price 6 20	Y Y Y Y Y	Clearing Ins Customer trac Customer trac Customer trac Customer trac
	<ul> <li>#</li> <li>1</li> <li>2</li> <li>3</li> <li>4</li> <li>5</li> </ul>	Orig Trade ID           3000000005           30000000011           3000000002           3000000008           3000000002	Trade ID           300000005           3000000011           300000002           300000008           300000002	Execution Date/1 20250314-11:07:1 20250314-12:30:1 20250314-11:03:3 20250314-11:45:3 20250315-11:03:3	Symbol Root           2.422.0         IBM           2.443.0         IBM           16.2660         IBM           12.4430         IBM	Symbol Sfx	Qty           100           20           12           20           12	Price 200.2 test for wrong price 6 20 6	Publish Indicator Y Y Y Y Y	Clearing Ins Customer trax Customer trax Customer trax Customer trax
	# 0 1 0 3 0 4 0 5	Orig Trade ID           300000005           3000000011           300000002           300000008           300000002	Trade 1D           3000000005         300000011           3000000002         3000000008           30000000002         3000000002	Execution Date// 20250314-11:07:1 20250314-12:30:1 20250314-11:03:3 20250314-11:03:3 20250315-11:03:3	Symbol Root           2.821.0.         184           2.4430         184           6.2060         184           6.24430         184	Symbol Sfx	Qty 100 20 12 20 20 20 12	Price 200.2 Kest for wrong price 6 20 6	Publish Indicator Y Y Y Y Y	Cleaning Ins Customer fra Courner Customer fra Customer fra Customer fra Customer fra
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nterconti	# 2 1 2 3 3 4 2 5	Orig Trade ID           300000005           300000001           300000002           300000002           300000002	Trade ID 300000005 3000000011 300000002 300000008 300000002	Execution Date// 20250314-11:07:1 20250314-12:30:1 20250314-11:03:3 20250314-11:45:3 20250315-11:03:3	Symbol Root           2.8210         184           5.6110.         IBM           6.2060.         IBM           82.4430.         IBM	Symbol Sfx	Qty           100           20           12           20           12	Price 200.2 Eest for wrong price 6 20 6	Publish Indicator Y Y Y Y Y	Clearing Lin Customer trait Customer trait Customer trait Customer trait Customer trait Customer trait Customer trait

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



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Cor	ntra Fir	m Compliance ID		Contra Firm Order ID			Contra Firm Order Capacity 🛛 🗸		Trade Modifier 1	~ C	Trade Modifier 2	~ (	Trade Modif	er 2 Time
Tre	ade Moi	difier 3 🗸		Trade Modifier 4	~		rade Modifier 4 Time		Reporting Obligation	~ C	Price Override	~ (	TT Exempt	~
Sh Sh	ort Sale	Indicator 🗸		Clearing Price			Contra Clearing Firm Number Party D Source		Contra Clearing Firm Number I Role	Party C	Contra Firm Number of Party ID	(	Contra Firm SubIDs	Number of Party
Cor	ntra Fir	m Party ID Source		Contra Firm Party Sub	DID		iontra Firm Party SubID Type		Contra Firm Text	C	Contra Give-up Firm Party ID	(	Contra Give- Source	up Firm Party ID
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<b>2 3</b>	3	300000002	30000	00002	20250314-11:	03:32.443	D IBM		12		6	Y		Customer trac
-	•	300000008	30000	100008	20250314-11:	45:36.206	D IBM		20		20	Y		Customer trac
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# • Open the switch of the input

Execution Date/Time Qty Claring Firm Side v Reporting Firm Side v Reporting Firm Side v Reporting Firm Ca	Inmoliance TD
	Joinpliance ID
Reporting Firm Order ID Reporting Firm Order Capacity V O Contra Firm Party ID O Contra Glearing Firm Number Party O Contra Firm Side V O Contra Firm Party ID	ty ID Role
Contra Firm Compliance ID Contra Firm Order ID Contra Firm Order ID Contra Firm Order Capacity V 💭 Trade Modifier 1 V 💭 Trade Modifier 2 V 💭 Trade Modifier 2	t Time
Trade Modifier 3 v O Trade Modifier 4 V O Trade Modifier 4 Time Reporting Obligation v O Price Override v O TT Exempt	~
Short Sale Indicator V Clearing Price Contra Gearing Firm Number Party D Contra Gearing Firm Number Party Role Contra Gearing Firm Number of Party ID Contra Firm Number of Party ID Contr	nber of Party
Contra Firm Party ID Source Contra Firm Party Sub1D Contra Firm Party Sub1D Type Contra Firm Text Contra Give-up Firm Party ID Contr	Firm Party ID
Contra Give-up Firm Party Role 💽 Fractional Share Qty 💽 Prep Time Previously Reported 🗸 💽 Price Type 💽 Related Market Co	Center 🗸
Raporting Clearing Firm Number of Party Reporting Firm Number of Party Dis Source Party Role Firm Number of Party Dis Source South Dis S	Party SubID
Reporting Firm Party Sub1D Type Reporting Firm Text Reporting Give-up Firm Party ID Source	
Sec Firm Trade ID Sec Firm Trade ID Sec Firm Trade Report Class V	
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# Orig Trade ID Trade ID Execution Date/Time Symbol Root Symbol Sfx Oty Price Publish Indicator	Clearing Ins
2 • 1 300000005 30000005 20250314-11:07:12.8210. IBM 12 12 Y	Customer trac
C 2 300000011 300000011 20250314-12:30:15.6110. IBM 20 20 Y	Customer trac
3 300000002 30000002 20250314-11:03:32.4430 IBM 12 6 Y	Customer trac
2 🔮 4 300000008 300000008 20250314-11:45:36.2060 IBM 20 20 Y	Customer trac V
□ ● 5 300000002 300000002 20250314-11:03:32.4430 IBM 12 6 Y	Customer trac

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



#### Click "Update" button to apply the changes to the selected data

Trades	To Corre Executio	ct: 5 Invalid Trades: 0 n Date/Time	Successfully Corrected Tra	ades: 0	Price							٩
	202503	15-12:00:00.000000000	Qty	•	100.0	01		Reporting Clearing Firm Number Party ID	Reporting Firm Side	~	Reporting I	Firm Compliance ID
	Reportir	ig Firm Order ID	Reporting Firm Order	Capacity 🖌 🖸	Contr	ra Firm Party ID		Contra Clearing Firm Number Party ID	Contra Firm Side	~	Contra Firm	n Party ID Role
	Contra F	irm Compliance ID	Contra Firm Order ID	C	Cont	ra Firm Order Capacity 🗸 🗸 🗸		Trade Modifier 1 🗸 🗸	Trade Modifier 2	~	Trade Modi	ifier 2 Time
	Trade M	odifier 3 🗸 🗸	Trade Modifier 4	~ C	Trade	e Modifier 4 Time		Reporting Obligation	Price Override	~	TT Exempt	~
	Short Sa	ele Indicator 🗸	Clearing Price	C	Contr ID Se	ra Clearing Firm Number Party		Contra Clearing Firm Number Party Role	Contra Firm Number of Party	ID	Contra Firm SubIDs	n Number of Party
	Contra F	irm Party ID Source	Contra Firm Party Sub		Contr	ra Firm Party SubID Type		Contra Firm Text	Contra Give-up Firm Party ID		Contra Give Source	e-up Firm Party ID
	Contra 6	live-up Firm Party Role	Fractional Share Qty	C	Prep	Time		Previously Reported	Price Type		Related Ma	arket Center 🗸 🗸
	Reportir Party ID	g Clearing Firm Number Source	Reporting Clearing Fir Party Role	m Number	Firm	Trade ID		Reporting Firm Number of Party IDs	Reporting Firm Number of Pa SubIDs	rty	Reporting I	Firm Party SubID
	Reportir	ng Firm Party SubID Type	Reporting Firm Text	C	Repo	rting Give-up Firm Party ID		Reporting Give-up Firm Party ID Source	Reporting Give-up Firm Party	Role	Sec Exec II	D
	Sec Firm	a Trade ID	Seller Days	~ C	Settle	ement Date		Special Process Flag	Trade Report Class	~		
Update	Re	set Submit										<b>.</b>
	#	Orig Trade ID	Trade ID	Execution Date/	Time	Symbol Root	Symbol	Sfx Qty	Price	Publ	sh Indicator	Clearing Ins
	1	300000005	300000005	20250315-12:00:0	0.0000	IBM		12	100.01	Y		Customer trac
	2	300000011	300000011	20250314-12:30:1	15.6110	IBM		20	20	Y		Customer trac
	3	300000002	300000002	20250315-12:00:0	0.0000	IBM		12	100.01	Y		Customer trac
	4	300000008	300000008	20250315-12:00:0	0000	IBM		20	100.01	Y		Customer trac ア

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



Trades	To Corre	ect: 5 Invalid Trades: 0	Successfully Corrected Tra	des: 0	Price									Q
	202503	15-12:00:00.000000000	Qty		100.0	01		Reporting Clearing Firm Nur Party ID	<sup>mber</sup>	Reporting Firr	1 Side	<u> </u>	Reporting Firm C	Compliance ID
	Reporti	ng Firm Order ID	Reporting Firm Order (	Capacity 🗸	Contr	ra Firm Party ID		Contra Clearing Firm Numbe	er Party	Contra Firm S	de 🔹	<u> </u>	Contra Firm Part	y ID Role
	Contra I	firm Compliance ID	Contra Firm Order ID		Cont	ra Firm Order Capacity 🗸 🗸		Trade Modifier 1	~ (	Trade Modifie	2	<u> </u>	Trade Modifier 2	Time
	Trade M	odifier 3 🗸	Trade Modifier 4	~	Trade	e Modifier 4 Time		Reporting Obligation	~ (	Price Override	,	· •	TT Exempt	~
	Short Si	ale Indicator 🗸	Clearing Price		Contra ID So	ra Clearing Firm Number Party ource		Contra Clearing Firm Numbe Role	ar Party	Contra Firm N	umber of Party ID		Contra Firm Nun SubIDs	ber of Party
	Contra I	Firm Party ID Source	Contra Firm Party Sub	(D	Conti	ra Firm Party SubID Type		Contra Firm Text		Contra Give-u	Firm Party ID		Contra Give-up F Source	irm Party ID
	Contra (	ive-up Firm Party Role	Fractional Share Qty		Conf	irmation you sure you want to submit	5 trade rep	orts?	(	Price Type			Related Market (	Center 🗸
	Reportin Party IC	ng Clearing Firm Number	Reporting Clearing Fire Party Role	n Number				Confirm Cancel	rty C	Reporting Firm	Number of Party		Reporting Firm F	arty SubID
	Reportin	ng Firm Party SubID Type	Reporting Firm Text		C Repo	rting Give-up Firm Party ID		Reporting Give-up Firm Part	IY ID	Reporting Give	-up Firm Party Role		Sec Exec ID	
	Sec Firm	1 Trade ID	Seller Days	~	Settle	ement Date		Special Process Flag	~ (	Trade Report	Class 🔹	~		
Update	Re	set Submit												
														52
	#	Orig Trade ID	Trade ID	Execution Da	te/Time	Symbol Root	Symbol	Sfx Qty		Price		Publish Ir	dicator	Clearing Ins
	1	2000000011	2000000011	20250315-12:	20:15 6110	TOM		12		-100.01				Customer trac
	3	300000002	300000002	20250315-12:	00:00.0000	IBM		12		100.01		Y		Customer trac
	4	300000008	300000008	20250315-12:	00:00.0000	IBM		20		100.01		Y		Customer trac V
	5	300000002	300000002	20250314-11:	03:32.4430	IBM		12		6		Y		Customer trac
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#### Send Corrected Trades

o All the trades success to report

des To Correct: 5 Invalid Trades: 0	Successfu	ully Corrected Trades: 0		Request Submi	tted Suc	cessfully					Q
20250315-12:00:00.00000000	Qty	A		Price 100.01		Reporting Clearing Firm Numbe Party ID		Reporting Firm Side	~ 🗆	Reporting Firm Compliance ID	2
Reporting Firm Order ID	Re Re	iporting Firm Order Capacity 🗸 🗸		Contra Firm Party ID		Contra Clearing Firm Number P ID	arty	Contra Firm Side	~ 0	Contra Firm Party ID Role	
Contra Firm Compliance ID	Cor	ntra Firm Order ID		Contra Firm Order Capacity 🗸 🗸		Trade Modifier 1	~ <b>()</b>	Trade Modifier 2	~ <b>(</b>	Trade Modifier 2 Time	
Trade Modifier 3	Tri	ade Modifier 4 🗸 🗸		Trade Modifier 4 Time		Reporting Obligation	· 🔵	Price Override	~ 🗖	TT Exempt	
Short Sale Indicator	Cle	saring Price		Contra Clearing Firm Number Party 1D Source		Contra Clearing Firm Number P Role	arty	Contra Firm Number of Party ID		Contra Firm Number of Party SubIDs	
Contra Firm Party ID Source		intra Firm Party SubID		Contra Firm Party SubID Type		Contra Firm Text		Contra Give-up Firm Party ID		Contra Give-up Firm Party ID Source	
Contra Give-up Firm Party Role	Fra	actional Share Qty		Prep Time		Previously Reported	· •	Price Type	0	Related Market Center	
Reporting Clearing Firm Number Party ID Source	Rep Par	porting Clearing Firm Number		Firm Trade ID		Reporting Firm Number of Part IDs		Reporting Firm Number of Party SubIDs	0	Reporting Firm Party SubID	
Reporting Firm Party SubID Type	Rep	porting Firm Text		Reporting Give-up Firm Party ID		Reporting Give-up Firm Party 1 Source		Reporting Give-up Firm Party Ro		Sec Exec ID	
Sec Firm Trade ID	Sel	iller Days 🗸 🗸		Settlement Date		Special Process Flag	~ <b>()</b>	Trade Report Class	~		
date Reset Submit											
	Trade ID	Execution C	ate/Time	symbol Root	Symbol S	ifx Oty		Price	Publish In	dicator Clearing I	ins

• All the trades fail to report

Trades To	Trades To Correct: 5 Invalid Trades: 0 Successfully Corrected Trades: 0 Q													
	Ixecutio	on Date/Time	Qty	Pric			Reporting Clearing Firm Number Party ID		Reporting Firm Side	~ 🗆	Reporting Firm C	ompliance ID		
	teportir	ng Firm Order ID	Reporting Firm Order Capa	city 🗸 🔘 Con	tra Firm Party ID		Contra Clearing Firm Number Party 10		Contra Firm Side	~ _	Contra Firm Part	y ID Role		
	Contra F	irm Compliance ID	Contra Firm Order ID	Con	tra Firm Order Capacity 🗸 🗸		Trade Modifier 1		Trade Modifier 2	~ 🗖	Trade Modifier 2	Time		
	Frado M	odifier 3 🗸 🗸	Trade Modifier 4	✓ O Trat	de Modifier 4 Time		Reporting Obligation		Price Override	~ <b>(</b>	TT Exempt	~		
	Short Sa	ale Indicator 🗸 🗸	Clearing Price	Con ID 1	tra Clearing Firm Number Party Source		Contra Clearing Firm Number Party Role		Contra Firm Number of Party ID	0	Contra Firm Num SubIDs	ber of Party		
	Contra F	irm Party ID Source	Contra Firm Party SubID	Con	tra Firm Party SubID Type		Contra Firm Text		Contra Give-up Firm Party ID		Contra Give-up F Source	irm Party ID		
	Contra C	ilve-up Firm Party Role	Fractional Share Qty	Prej	p Time		Previously Reported 🗸		Price Type		Related Market C	lenter 🗸		
	teportir Party ID	ng Clearing Firm Number Source	Reporting Clearing Firm Nu Party Role	mber Firm	n Trade ID		Reporting Firm Number of Party 10s		Reporting Firm Number of Party SubIDs	0	Reporting Firm P	arty SubID		
	teportir	ig Firm Party SubID Type	Reporting Firm Text	C Rep	orting Give-up Firm Party ID		Reporting Give-up Firm Party ID Source		Reporting Give-up Firm Party Rol		Sec Exec ID			
	iec Firm	1 Trade ID	Seller Days	<ul> <li>Set</li> </ul>	llement Date		Special Process Flag 🗸 🗸		Trade Report Class	-				
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	#	Orig Trade ID	Trade ID Ex	ecution Date/Time	Symbol Root	Symbol	Sfx Qty		Price	Publish Ir	dicator	Clearing Ins		
. •	1	300000011	300000011 203	250314-12:30:15.6110	IBM		20		20	Y		Customer trac		
•	2	300000002	300000002 203	250314-11:03:32.4430	IBM		12		6	Y		Customer trac		
0	3	300000008	300000008 202	250314-11:45:36.2060	IBM		20		20	Y		Customer trac		
. •	4	300000002	300000002 202	250314-11:03:32.4430	IBM		12		6	Y		Customer trac		
. •	5	300000008	300000008 203	250314-11:45:36.2060	IBM		20		20	Y		Customer trac		

• Part of trades fail to report

es To Correct: 5 Invalid Trades: 2	Successfully Corrected To	rades: 3	AS OF Correction	n Failed Validation	1			ρ
Execution Date/Time	Qty		Price	Reporting C Party ID	learing Firm Number	Reporting Firm Side	✓ C Reportin	g Firm Compliance ID
Reporting Firm Order ID	Reporting Firm Order	r Capacity 🗸 🔘	Contra Firm Party ID	Contra Clea ID	ring Firm Number Party	Contra Firm Side	✓ Contra F	irm Party ID Role
Contra Firm Compliance ID	Contra Firm Order ID		Contra Firm Order Capacity 🗸 🗸	Trade Modil	ier 1 🗸	Trade Modifier 2	Y Trade Mo	difier 2 Time
Trade Modifier 3 🗸	Trade Modifier 4	~ 🔘	Trade Modifier 4 Time	Reporting C	bligation 🗸	Price Override	✓	pt
Short Sale Indicator	Clearing Price		Contra Clearing Firm Number Party ID Source	Contra Clea Role	ring Firm Number Party	Contra Firm Number of P	Party ID Contra F	irm Number of Party
Contra Firm Party ID Source	Contra Firm Party Su	bID O	Contra Firm Party SubID Type	Contra Firm	Text	Contra Give-up Firm Part	ty ID Contra G Source	ive-up Firm Party ID
Contra Give-up Firm Party Role	Fractional Share Qty		Prep Time	Previously I	teported V	Price Type	Related	Market Center
Reporting Clearing Firm Number Party ID Source	Reporting Clearing Fi Party Role	irm Number	Firm Trade ID	Reporting F IDs	irm Number of Party	Reporting Firm Number of SubIDs	of Party Reportin	g Firm Party SubID
Reporting Firm Party SubID Type	Reporting Firm Text		Reporting Give-up Firm Party ID	Reporting G Source	ive-up Firm Party ID	Reporting Give-up Firm I	Party Role Sec Exec	ID
Sec Firm Trade ID	Seller Days	~ 🔘	Settlement Date	Special Pro	cess Flag 🗸 🗸	Trade Report Class	~	
ate Reset Submit								
# Orig Trade ID	Trade ID	Execution Date/Tim	e Symbol Root	Symbol Sfx	Qty	Price	Publish Indicator	Clearing Ins
4 300000002	300000002	20250314-11:03:32.4	430 IBM		12	6	Y	Customer trac
5 300000008	300000008	20250314-11:45:36.2	060 IBM		20	20	Y	Customer trac

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

Trades To Correct: 5 Invalid Trades: 2	Successfully Corrected Trades: 3	3 AS OF Correction Failed Validation					
Execution Date/Time	Qty	Price	Reporting Clearing Firm Number Party ID	Reporting Firm Side	✓ ■ Reporting Fire	m Compliance ID	
Reporting Firm Order ID	Reporting Firm Order Capacity 🗸	Contra Firm Party ID	Contra Clearing Firm Number Party ID	Contra Firm Side	Contra Firm I	Party ID Role	
Contra Firm Compliance ID	Contra Firm Order ID	Contra Firm Order Capacity 🗸 🗸	Trade Modifier 1	Trade Modifier 2	✓ Trade Modifie	or 2 Time	
Trade Modifier 3 🗸 🗸	Trade Modifier 4	Trade Modifier 4 Time	Reporting Obligation	Price Override	✓	~	
Short Sale Indicator	Clearing Price	Contra Clearing Firm Number Party ID Source	Contra Clearing Firm Number Party Role	Contra Firm Number of Party II	Contra Firm I SubIDs	Number of Party	
Contra Firm Party ID Source	Contra Firm Party SubID	Contra Firm Party SubID Type	Contra Firm Text	Contra Give-up Firm Party ID	Contra Give- Source	up Firm Party ID	
Contra Give-up Firm Party Role	Fractional Share Qty	Prep Time	Previously Reported	Price Type	Related Mari	cet Center 🗸 🗸	
Reporting Clearing Firm Number Party ID Source	Reporting Clearing Firm Number Party Role	Firm Trade ID	Reporting Firm Number of Party IDs	Reporting Firm Number of Part SubIDs	Reporting Fir	m Party SubID	
Reporting Firm Party SubID Type	Reporting Firm Text	Reporting Give-up Firm Party ID	Reporting Give-up Firm Party ID Source	Reporting Give-up Firm Party R	ole Sec Exec ID		
Sec Firm Trade ID	Seller Days	Settlement Date	Special Process Flag 🗸	Trade Report Class	~		
Update Reset Submit							
# Orig Trade ID	Trade ID Execution I	Date/Time Symbol Root	Symbol Sfx Qty	Price	Publish Indicator	Clearing Ins	
4 300000002	300000002 20250314-1	1:03:32.4430 IBM	12	6	Y	Customer trat	
5 300000008	300000008 20250314-1	1:45:36.2060 IBM	20	20	Y	Customer trac	
					PAGE BE KOWS PCT PAGE	s > Filter	

10. The invalid data in the trades that failed to report are marked with red border.

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

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rades To Correct: 5 Invalid Trades: 2 Successfully Corrected Trades: 3 Q												
Execution Date/Time	Qty	Pric	e		teporting Clearing Firm Number arty ID	Reporting Firm Side	~	Reporting F	Firm Compliance ID			
Reporting Firm Order ID	Reporting Firm Order Ca	pacity 🗸 🔘 Con	tra Firm Party ID		Contra Clearing Firm Number Party D	Contra Firm Side	~	Contra Firm	n Party ID Role			
Contra Firm Compliance ID	Contra Firm Order ID	Con	tra Firm Order Capacity 🗸 🗸		frade Modifier 1 🗸 🗸	Trade Modifier 2	~	Trade Modi	fier 2 Time			
Trade Modifier 3 V	Trade Modifier 4	✓ Tra	de Modifier 4 Time		Reporting Obligation	Price Override	~	TT Exempt	~			
Short Sale Indicator	Clearing Price	Con ID 5	tra Clearing Firm Number Party Source		Contra Clearing Firm Number Party tole	Contra Firm Number	of Party ID	Contra Firm SubIDs	n Number of Party			
Contra Firm Party ID Source	Contra Firm Party SubID	Con	tra Firm Party SubID Type		Contra Firm Text	Contra Give-up Firm	Party ID	Contra Give Source	2-up Firm Party ID			
Contra Give-up Firm Party Role	Fractional Share Qty	Prej	p Time		Previously Reported	Price Type		Related Ma	rket Center 🗸 🗸			
Reporting Clearing Firm Number Party ID Source	Reporting Clearing Firm Party Role	Number Firm	1 Trade ID		teporting Firm Number of Party Ds	Reporting Firm Num SubIDs	ber of Party	Reporting F	Firm Party SubID			
Reporting Firm Party SubID Type	Reporting Firm Text	Rep	orting Give-up Firm Party ID		Reporting Give-up Firm Party ID Jource	Reporting Give-up F	irm Party Role	Sec Exec II				
Sec Firm Trade ID	Seller Days	Y Sett	lement Date		Special Process Flag 🗸	Trade Report Class	~					
Update Reset Submit									ñ ¢			
# Orig Trade ID	Trade ID	Execution Date/Time	Symbol Root	Symbol St	x Qty	Price		Publish Indicator	Clearing Ins			
4 300000002	300000002	20250314-11:03:32.4430	IBM		12	6		Y	Customer trat			
0 5 300000008	300000008	20250314-11:45:36.2060	IBM		20	20		Y	Customer trai			
							1 [DADTI		0			

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

\*Firms can select or multiple trade reports to modify

#### 4.2 Rejected Trades Tab

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

≡ NYSe <sup>¬</sup> /	C					TRF								
TRADE MANAGEME	NT										Ľ			
Trades Rejected Tra	les Transactions Transactions His	tory												
Search											^			
Execution Date E 03/18/2025	To	Control Date 03/18/2025	03/18/2025 0	eport Time 0:00:00.000000 To 23	3:59:59.999999	Contra Clearing Firr	n Party i	D Contra Firm Compliance I	D Contra Firm Party	ID Contra Firm Side 🗸				
Status FRJ X +2 Selected	X Y FINRA Trade ID Firm	Frade ID Fraction	nal Share Qty To	Price T	o	Qty To		Price Override 🗸 Rep	orting Clearing Firm Party	ID Reporting Firm Compl	liance ID			
Reporting Firm Party I SIP Reject Reason	teporting Firm Party ID Reporting Firm Side  Short Sale Indicator Symbol Trade ID Trade Modifier 3 SRC Reject Reason SIP Reject Flag													
										🕑 Detail 🕑 Re	esubmit 🗗 🗘			
Status	Reject Reason	Trade ID Exe	ecution Date/Time	Report Time	Symbol Root	Symbol Sfx	Qty	Price   Price Override	Publish Indicator	As Of Indicator	Clearing 1			
TREJ - Rejected	R081:Price_Too_Far_Outside	300000005 202	25-03-18 11:17:08.428785000	11:17:08.429387531	SPY		100	0.000252	Y - Publish		12 - Cut			
TREJ - Rejected	R707:Original_Trade_Not_Found	300000267 202	25-03-18 11:17:13.428793000	11:17:44.553594800	IBM		100	0.000252	Y - Publish		12 - Cut			
GTRJ - Rejected	R700:Invalid_TRF_Tag:22003	300000027 202	25-03-18 11:17:23.428772000	11:17:23.430312875	SPY		6650	0.000252	Y - Publish		98 - QSI			
TREJ - Rejected	R081:Price_Too_Far_Outside	300000038 202	25-03-18 11:17:24.428764000	11:17:24.429446179	SPY		100	0.000254	Y - Publish		98 - QSI V			
TREJ - Rejected	R081:Price_Too_Far_Outside	300000047 202	25-03-18 11:17:16.428785000	11:17:16.429406623	IBM		100	0.000254	Y - Publish		12 - Cus ត្រី			
TREJ - Rejected	R081:Price_Too_Far_Outside	300000049 202	25-03-18 11:17:25.428763000	11:17:25.429450230	SPY		2087	0.000256	Y - Publish		13 - Sel			
TREJ - Rejected	R081:Price Too Far Outside	300000082 202	25-03-18 11:17:53.428719000	11:17:53.429548806	SPY		100	0.00025	Y - Publish		13 - Sel *			
Selected: 3					Total Rows: 4	39								
								Tatal Daniel			A Z N N			

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

≡ NYSe <sup>™</sup>			TRF		
<b>1</b>					×
Contra Give-up Firm Party ID	Contra Give-up Firm Party ID	Contra Give-up Firm Party Role	Execution Date/Time	Firm Trade ID	Fractional Share Qty
_	Source	_		Price Override	
Locked In Indicator V	Prep Time	Previously Reported	Price	Yes X X	Price Type
Publish Indicator	Qty Qty	Related Market Center	Reporting Clearing Firm Number Party ID	Reporting Clearing Firm Number Party ID Source	Reporting Clearing Firm Number Party Role
Reporting Firm Compliance ID	Reporting Firm Number of Party IDs	Reporting Firm Number of Party SubIDs	Reporting Firm Order Capacity 🗸	Reporting Firm Order ID	Reporting Firm Party ID
Reporting Firm Party ID Role	Reporting Firm Party ID Source	Reporting Firm Party SubID	Reporting Firm Party SubID Type	Reporting Firm Side	Reporting Firm Text
Reporting Give-up Firm Party ID	Reporting Give-up Firm Party ID Source	Reporting Give-up Firm Party Role	Reporting Obligation	Sec Exec ID	Sec Firm Trade ID
Seller Days	Settlement Date	Short Sale Indicator ¥	Special Process Flag V	Symbol Root	Symbol Sfx
Trade Date	Trade Modifier 1	Trade Modifier 2	Trade Modifier 2 Time	Trade Modifier 3	Trade Modifier 4
Trade Modifier 4 Time	Trade No of Sides	Trade Report Class	Trade Report Trans Type	Trade Report Type	TT Exempt V
Update Reset Submit					6 <b>4</b>
As Of Indicator	Clearing Instr Clearing Pr	ice Contra Clearing Firm Numb	er Party ID Contra Clearing Firn	Number Party ID Source	Contra Clearing Firm Number Party Role
<b>0</b> 1 -	Customer trade	0161	с		83 0
2 -	Customer trade	0005	с		83 5
<b>3</b> -	Self Clear	0005	с		83 2
					⊅ Filter
				Lotal Result #401 Page	Kows Per Page 1,000 t
Intercontinental Exchange				A Convicto 2025 John and South	

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

NYSe		ß						TRF					
Cor	ntra Firm Party ID I	Role		Contra Firm Party ID Source		Contra Firm Party SubID	C	Contra Firm Party SubID Type		Contra Firm Side	~ (	Contra Firm	Text
Cor	ntra Give-up Firm P	arty ID		Contra Give-up Firm Party ID Source		Contra Give-up Firm Party Role	C	Execution Date/Time		Firm Trade ID	C	Fractional S	hare Qty
	cked In Indicator	~		Prep Time		Previously Reported	~ C	Price		Yes	× • (	Price Type	
Pul	blish Indicator	~		Qty		Related Market Center	~ C	Reporting Clearing Firm Number Party ID		Reporting Clearing Firm No Party ID Source	imber C	Reporting O Party Role	learing Firm Numbe
Rep	porting Firm Compl	iance ID		Reporting Firm Number of Party IDs		Reporting Firm Number of Part SubIDs	.v C	Reporting Firm Order Capacity	~	Reporting Firm Order ID	0	Reporting F	irm Party ID
Rep	porting Firm Party	ID Role		Reporting Firm Party ID Source		Reporting Firm Party SubID	C	Reporting Firm Party SubID Typ	e 🚺	Reporting Firm Side	~ (	Reporting F	irm Text
Rep	porting Give-up Fir	m Party ID		Reporting Give-up Firm Party ID Source		Reporting Give-up Firm Party F	tole C	Reporting Obligation	~ <b>(</b>	Sec Exec ID	C	Sec Firm Tr	ade ID
Sel	ller Days	~		Settlement Date		Short Sale Indicator	~ C	Special Process Flag	× O	Symbol Root	0	Symbol Sfx	
Tra	ade Date			Trade Modifier 1		Trade Modifier 2	~ C	Trade Modifier 2 Time		Trade Modifier 3	~ (	Trade Modi	lier 4
Tra	ade Modifier 4 Time			Trade No of Sides		Trade Report Class	~ C	Trade Report Trans Type		Trade Report Type	0	TT Exempt	
Jpdate	Reset Subr	mit											6
. #	# cator	Orig Control D	ate	Orig Trade ID	Prep Tim	e Previous	ly Reported	d Price	Price Over	ride Price Ty	pe	Publish In	dicator
0 1		20250318		300000005		No		0.000252	Yes	98		Y	
2	2	20250318		300000047		No		0.000254	Yes	98		Y	
	3	20250318		300000049		No		0.000256	Yes	98		Y	

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



# 4.3 Transactions Tab

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

_		-										
	NYSe					TRF						
TRA	DE MANAGEMENT											Ľ
Trac	les Rejected Trades T	ransactions Transactions	s History									
Sea	rch											$\sim$
											🕑 Detail 🗸	•
	Action	State	Status	Trade ID	Execution Date/Time	Report Time	Symbol	Q	y Price	Created By	Created Time	
	CANCEL	CURRENT	TCRK - Corrected	400003028	2025-03-16 11:22:43.428	11:24:47.650195348	AAPL	10	0 0.000254	PILLAR	2025-03-18T11:27:35.5	÷ 0
	CANCEL	TARGET	TCRK - Corrected	400003028	2025-03-16 11:22:43.428	11:24:47.650195348	AAPL	10	0 0.000254	PILLAR	2025-03-18T11:27:35.5	l lun
	CORRECT	CURRENT	TRAK - Accepted	400003050	2025-03-18 11:24:49.428	11:24:49.429993428	AAPL	10	0 0.00025	PILLAR	2025-03-18T11:27:37.5	, PS
	CORRECT	TARGET	TCRK - Corrected	4000004117	2025-03-18 11:24:49.428	11:27:37.714801431	AAPL	10	0 0.00025	PILLAR	2025-03-18T11:27:37.5	Y
	CORRECT	CURRENT	TRAK - Accepted	4000003094	2025-03-16 11:24:53.428	11:24:53.479383169	AAPL	10	0 0.000252	PILLAR	2025-03-18T11:27:39.5	llter
	CORRECT	TARGET	TCRK - Corrected	4000004139	2025-03-16 11:24:53.428	11:27:39.646843814	AAPL	10	0 0.000252	PILLAR	2025-03-18T11:27:39.5	Ś
	CANCEL	CURRENT	TCRK - Corrected	4000003127	2023-03-16 11:22:46.428	11:24:57.655640437	AAPL	10	0 0.000256	PILLAR	2025-03-18T11:27:40.5	
	CANCEL	TARGET	TCAK - Cancelled	4000003127	2023-03-16 11:22:46.428	11:27:40.621890164	AAPL	10	0 0.000256	PILLAR	2025-03-18T11:27:40.5	
	CORRECT	CURRENT	TCRK - Corrected	3000003248	2025-03-16 11:20:11.428	11:25:23.641703116	IBM	10	0 0.000252	PILLAR	2025-03-18T11:28:01.5	
	CORRECT	TARGET	TCRK - Corrected	3000004271	2025-03-16 11:20:11.428	11:28:01.642825242	IBM	10	0 0.000252	PILLAR	2025-03-18T11:28:01.5	
	CANCEL	CURRENT	TRAK - Accepted	3000003270	2025-03-18 11:25:25.428	11:25:25.429995762	IBM	10	0 0.000252	PILLAR	2025-03-18T11:28:05.5	
	CANCEL	TARGET	TCAK - Cancelled	3000003270	2025-03-18 11:25:25.428	11:28:05.620044947	IBM	10	0 0.000252	PILLAR	2025-03-18T11:28:05.5	
	CORRECT	CURRENT	TRAK - Accepted	3000001578	2023-03-16 11:25:32.428	11:25:32.430001041	SPY	10	0 0.000254	PILLAR	2025-03-18T11:28:10.5	
	CORRECT	TARGET	TCRK - Corrected	3000001996	2023-03-16 11:25:32.428	11:28:10.644233867	SPY	10	0 0.000254	PILLAR	2025-03-18T11:28:10.5	
	CANCEL	CURRENT	TCRK - Corrected	3000003336	2025-03-18 11:23:19.428	11:25:38.707466485	IBM	10	0 0.00025	PILLAR	2025-03-18T11:28:18.5	
	CANCEL	TARGET	TCAK - Cancelled	3000003336	2025-03-18 11:23:19.428	11:28:18.620567532	IBM	10	0 0.00025	PILLAR	2025-03-18T11:28:18.5	
	CANCEL	TARGET		4000002610					0 0	PILLAR	2025-03-18T11:28:31.5	
	CORRECT	CURRENT	TRAK - Accepted	4000003479	2025-03-16 11:25:57.428	11:25:57.480225797	AAPL	10	0 0.000248	PILLAR	2025-03-18T11:28:36.5	
	CORRECT	TARGET	TCRK - Corrected	4000004557	2025-03-16 11:25:57.428	11:28:36.641365770	AAPL	10	0 0.000248	PILLAR	2025-03-18T11:28:36.5	

# 4.4 Transactions History Tab

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

	NYSe		e					TRF						
TRA	DE MANAG	SEMENT												Ľ
Trac	les Rejecte	d Trades Trans	actions Transactions History											
Sea	rch													
_														🕑 Detail 💽 🐺
	Action	Created By	Created Time	State	Status	Trade ID	Execution Date/Time	Report Time	Symbol	Qty	Price	As Of Indicator	Clearing Instr	· · · · · · · · · · · · · · · · · · ·
	REVERSE	btobin	2025-03-14T10:02:24.246793	CURRENT	TRAK - Accepted	300000014	2025-03-13 09:40:01.596161000	09:40:01.595162441	IBM	5739	0.000246		98 - QSR no Clear	Ê C
	REVERSE	btobin	2025-03-14T10:02:24.246947	TARGET			2025-03-13 09:40:01.596161000			5739	0.000246	1 = true - trade is an As	98 - QSR no Clear	E STATE
	REVERSE	btobin	2025-03-14T10:02:24.246793	CURRENT	TRAK - Accepted	300000014	2025-03-13 09:40:01.596161000	09:40:01.595162441	IBM	5739	0.000246		98 - QSR no Clear	σi σi
	REVERSE	btobin	2025-03-14T10:02:24.246947	TARGET			2025-03-13 09:40:01.596161000			5739	0.000246	1 = true - trade is an As	98 - QSR no Clear	7
	REVERSE	btobin	2025-03-14T10:02:24.246947	TARGET	TRVK - Reversed	3000010057	2025-03-13 09:40:01.596161000	10:02:24.377086947	IBM	5739	0.000246	1 = true - trade is an As	98 - QSR no Clear	liten
	REVERSE	btobin	2025-03-14T10:02:24.246793	CURRENT	TRAK - Accepted	300000014	2025-03-13 09:40:01.596161000	09:40:01.595162441	IBM	5739	0.000246		98 - QSR no Clear	
	REVERSE	btobin	2025-03-14T10:02:24.246947	TARGET	TRHX	3000010057	2025-03-13 09:40:01.596161000	10:02:24.377086947	IBM	5739	0.000246	1 = true - trade is an As	98 - QSR no Clear	
	REVERSE	btobin	2025-03-14T10:02:24.246793	CURRENT	TRAK - Accepted	300000014	2025-03-13 09:40:01.596161000	09:40:01.595162441	IBM	5739	0.000246		98 - QSR no Clear	
	REVERSE	vkaras	2025-03-14T10:45:15.858749	CURRENT	TRAK - Accepted	4000002907	2023-03-11 08:47:48.596230000	09:47:48.594571617	AAPL	100	0.000248	1 = true - trade is an As	13 - Self Clear	
	REVERSE	vkaras	2025-03-14T10:45:15.858852	TARGET			2023-03-11 08:47:48.596230000			100	0.000248	1 = true - trade is an As	13 - Self Clear	
	REVERSE	vkaras	2025-03-14T10:45:15.858749	CURRENT	TRAK - Accepted	4000002907	2023-03-11 08:47:48.596230000	09:47:48.594571617	AAPL	100	0.000248	1 = true - trade is an As	13 - Self Clear	
	REVERSE	vkaras	2025-03-14T10:45:15.858852	TARGET			2023-03-11 08:47:48.596230000			100	0.000248	1 = true - trade is an As	13 - Self Clear	
	REVERSE	vkaras	2025-03-14T10:45:15.858852	TARGET	TRVK - Reversed	4000010101	2023-03-11 08:47:48.596230000	10:45:15.986681491	AAPL	100	0.000248	1 = true - trade is an As	13 - Self Clear	
	REVERSE	vkaras	2025-03-14T10:45:15.858749	CURRENT	TRAK - Accepted	4000002907	2023-03-11 08:47:48.596230000	09:47:48.594571617	AAPL	100	0.000248	1 = true - trade is an As	13 - Self Clear	
	REVERSE	vkaras	2025-03-14T10:45:15.858852	TARGET	TRHX	4000010101	2023-03-11 08:47:48.596230000	10:45:15.986681491	AAPL	100	0.000248	1 = true - trade is an As	13 - Self Clear	
	REVERSE	vkaras	2025-03-14T10:45:15.858749	CURRENT	TRAK - Accepted	4000002907	2023-03-11 08:47:48.596230000	09:47:48.594571617	AAPL	100	0.000248	1 = true - trade is an As	13 - Self Clear	
	REVERSE	vkaras	2025-03-14T12:55:13.498851	CURRENT	TRAK - Accepted	4000007285	2023-03-11 08:58:58.593578000	09:58:58.594891140	AAPL	3550	0.000244	1 = true - trade is an As	13 - Self Clear	
	REVERSE	vkaras	2025-03-14T12:55:13.498953	TARGET			2023-03-11 08:58:58.593578000			3550	0.000244	1 = true - trade is an As	13 - Self Clear	
	REVERSE	vkaras	2025-03-14T12:55:13.498851	CURRENT	TRAK - Accepted	4000007285	2023-03-11 08:58:58.593578000	09:58:58.594891140	AAPL	3550	0.000244	1 = true - trade is an As	13 - Self Clear	
	REVERSE	vkaras	2025-03-14T12:55:13.498953	TARGET			2023-03-11 08:58:58.593578000			3550	0.000244	1 = true - trade is an As	13 - Self Clear	
F	4													* }
							T 1-1 D							



# 5. Firm Information

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

# 5.1 Firm Relationship Table

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

≣ NYSe <sup>¶</sup> / <sup>₽</sup>	PRISM 2					Tf	RF			
FIRM INFORMATION										Ľ
Firm Relationship Table	Firm Information									
Trade Date 05/20/2025	Reporting Firm MPID 8X8X	Contra Firm Give-	up							
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## 5.1 Firm Information

• Details firm's information

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# Appendix A: Document Version History

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