NYSE PILLAR Trade Ops Portal (TOP) USER GUIDE

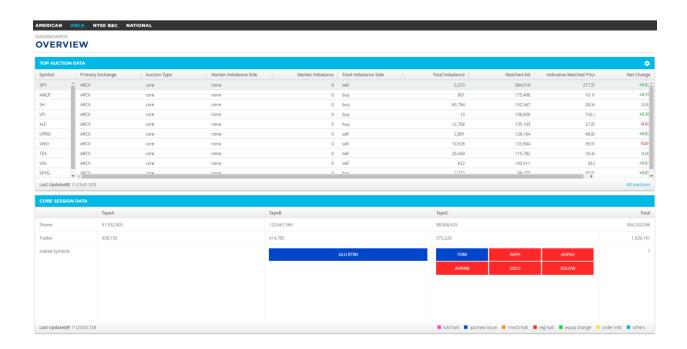
Navigation Pane

The navigation pane is located on the black banner along the top of the page. Hover your mouse over each market to display the available search links for that market.

Dashboards

OVERVIEW

- o Displays the selected market's Top Ten Auction by Matched Volume
- o Displays Core Session Data
 - Trades broken down by Tape
 - Shares traded broken down by Tape
 - Halted Symbols broken down by Tape
 - Color coded by Halt Type



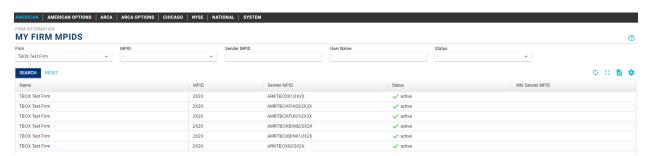
Firm Information

My Firm MPIDs

- o Query Session Details based on the following criteria:
 - Firm

- MPID free form text
- SENDER MPID free form text
- User Name
- Status
 - All
 - Active
 - Prospect
 - Inactive
- o Exportable to Excel
- O Display Grid is customizable by selecting/unselecting columns





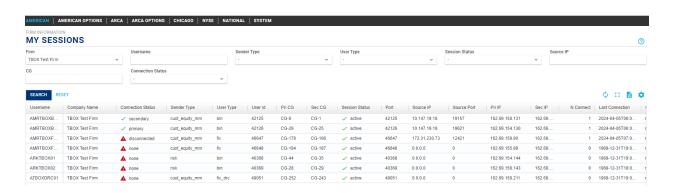
My Sessions

- O Query Session Details based on the following criteria:
 - Firm
 - Username
 - Sender Type
 - Algo
 - Broker
 - Customer Equity MM
 - Direct to Broker
 - DMM
 - Options MM
 - Service Bureau
 - User Type
 - Binary
 - Binary Drop Copy
 - FIX
 - FIX Drop Copy
 - Session Status

- Αll
- Active- session is connected and live
- Prospect- session is connected but not live
- Inactive- session is not connected
- Source IP
- CG (Customer Gateway)
- **Connection Status**
 - Αll
 - Connected
 - Primary
 - Secondary
 - Disconnected
 - None
- Exportable to Excel



- Display Grid is customizable using the "GEAR" icon
- Help button defines each column on the current page with a pop-out glossary



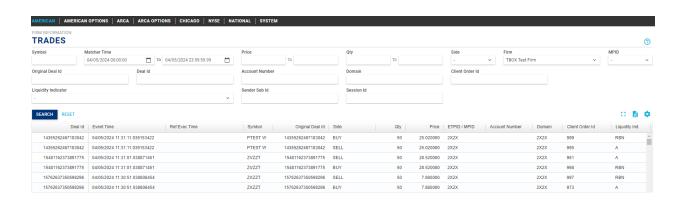
Trades

Query trades based on the following criteria after hitting ${ extstyle Q}$



- Symbol
- Matcher Date and Time
- Price
- Quantity
- Side
- Firm
- ETPID/MPID
- Original Deal IdDeal ID

- Account Number
- Domain
- Client Order ID
- Liquidity Indicator
- Sender Sub ID
- Session ID
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Market Data

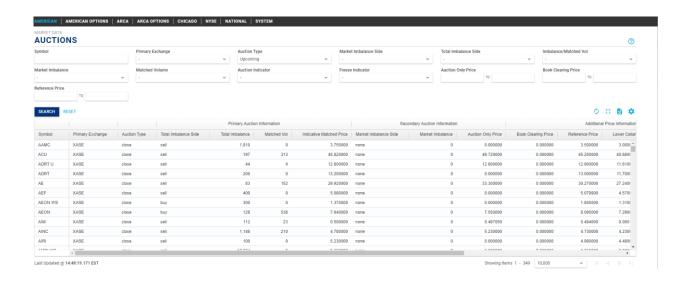
Auctions

- o Query Auction Data based on the following criteria:
 - Symbol
 - Primary Exchange
 - Auction Type
 - Early Morning
 - Core
 - Closing
 - Reopening
 - IPO
 - Market Imbalance Side
 - Buy
 - Sell
 - None

- Cross
- Market Imbalance
- Total Imbalance Side
 - Buy
 - Sell
 - None
 - Cross
- Imbalanced/Matched Volume
- Market Imbalance
- Matched Volume
- Auction Indicator
- Freeze Indicator
- Auction Only Price
- Book Clearing Price
- Reference Price
- o Exportable to Excel



- O Display Grid is customizable using the "GEAR" icon
- o Can be set to Auto-Refresh
- Help button defines each column on the current page with a pop-out glossary



Risk Management

Risk Monitor

- o Risk User
- o MPID

- o View My Limits
 - o Block By

Risk Settings

- o Risk User
- o MPID
- View My Settings
- o Symbol

Symbol ADV List

o Symbol

Reports

Activity Report

Resources

Documents and Links

- o Quick Links to other NYSE Webpages
 - o NYSE.com
 - o Invoice Viewer
 - o Market Status Updates
 - o NYSE Index
 - o Trader Updates

Settings

EOD - F/R Jobs

GBO Reference Data

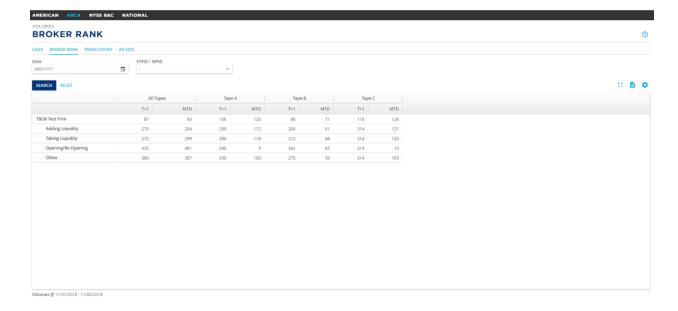
Volumes

Broker Rank

- Ranking of Firms by liquidity type
- Exportable to Excel

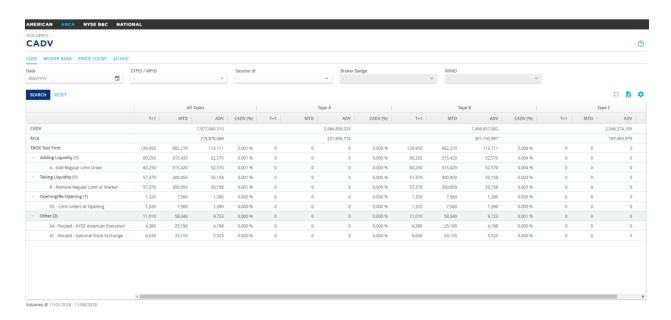


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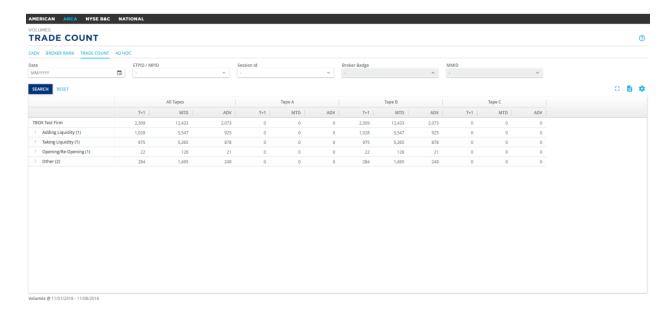
CADV

- Summary of CADV for a specific date
- Summary of Firm Volume by liquidity tag for a specific date
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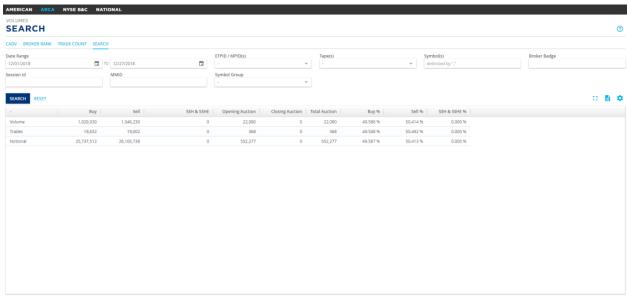
Trade Count

- Count of Trades by liquidity codes for a specific day
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Search

- Firm volumes searchable by:
 - o Date Range
 - o Symbol
 - o Session ID
 - o MPID
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Volumes @ 12/03/2018 - 12/27/2018