



# **FINRA/NYSE TRF® Portal**

## **User Manual**

**May 23, 2025**

Document Version 1.0

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## 1. Introduction

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

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

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

## Section 2 - Application and Login Overview

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

## Section 3 - Trade Report Management

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

## 2. TRF Portal Login Procedure

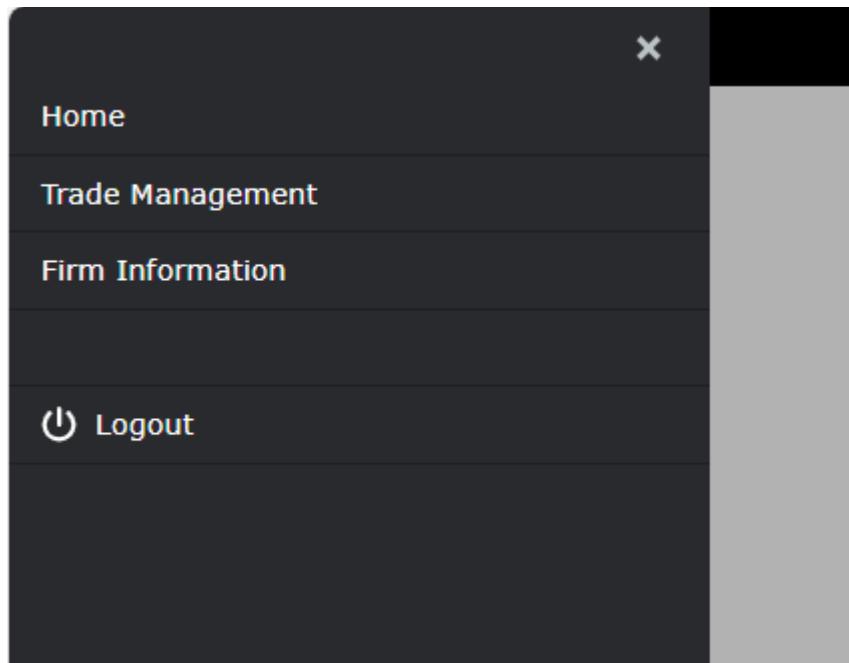
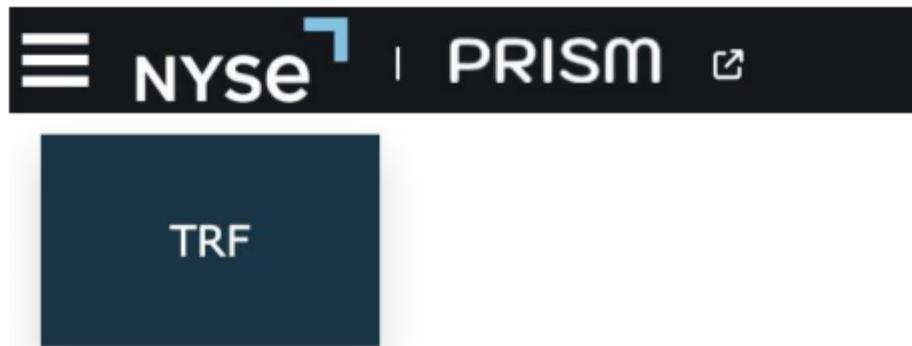
Please follow the link below to navigate the procedure to be followed for TRF Portal login setup.

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

TRADE MANAGEMENT

Trades Rejected Trades Transactions Transactions History

Search

Execution Date	Execution Time	Control Date	Orig Control Date	Report Time	Contra Clearing Firm Party ID	Contra Firm Compliance ID	Contra Firm Party ID	Contra Firm Side
03/18/2025	To	03/18/2025	03/18/2025	00:00:00.000000 To 23:59:59.999999				
Status	FINRA Trade ID	Firm Trade ID	Fractional Share Qty To	Price To	Qty To	Price Override	Reporting Clearing Firm Party ID	Reporting Firm Compliance ID
Reporting Firm Party ID	Reporting Firm Side	Short Sale Indicator	Symbol	Trade ID	Trade Modifier 3	SRC	<input type="button" value="Search"/> <span style="margin-left: 10px;">Detail</span> <span style="margin-left: 10px;">Add</span> <span style="margin-left: 10px;">Bust</span> <span style="margin-left: 10px;">Update</span> <span style="margin-left: 10px;">Settings</span>	

Status	FINRA Final Status	Trade ID	Execution Date/Time	Report Time	Symbol	Price	Qty	As Of Indicator	Clearing Instr	Clearing Price	Contra Clearing Firm ...
<input type="checkbox"/>	TRAK - Accepted	Pending	3000000025	2025-03-18 11:17:13.428793000	11:17:13.429417530 IBM	0.000252	465		12 - Customer Trade	0 0005	
<input type="checkbox"/>	TRAK - Accepted	Pending	3000000245	2025-03-18 11:17:41.428751000	11:17:41.429531319 IBM	0.000252	6555		11 - QSR Clear	0 0005	
<input type="checkbox"/>	TCAK - Cancelled	Pending	3000000368	2025-03-18 11:19:36.428450000	11:19:36.429737016 SPY	0.000252	100		12 - Customer Trade	0 0161	
<input type="checkbox"/>	TCAK - Accepted	Pending	3000000377	2025-03-18 11:17:58.428794000	11:17:58.429557374 IBM	0.00025	100		12 - Customer Trade	0 0005	
<input type="checkbox"/>	TCAK - Cancelled	Pending	3000000390	2025-03-18 11:19:38.428445000	11:19:38.429749077 SPY	0.00025	2084		13 - Self Clear	0 0005	
<input type="checkbox"/>	TRAK - Accepted	Pending	3000000445	2025-03-18 11:20:00.428400000	11:20:00.429793072 SPY	0.000254	6051		98 - QSR no Clear	0 0161	
<input type="checkbox"/>	TCRK - Corrected	Pending	3000000885	2025-03-18 11:20:32.428359000	11:22:22.645525112 SPY	0.000252	100	false - trade is not an As-Of trade (default)	13 - Self Clear	0 0005	
<input type="checkbox"/>	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	
<input type="checkbox"/>	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	
<input type="checkbox"/>	TRAK - Accepted	Pending	3000000775	2025-03-18 11:21:42.428245000	11:21:42.430371743 SPY	0.000252	100		13 - Self Clear	0 0005	
<input type="checkbox"/>	TRAK - Accepted	Pending	3000000951	2025-03-18 11:22:39.428233000	11:22:39.429921514 SPY	0.000252	100		13 - Self Clear	0 0005	
<input type="checkbox"/>	TRAK - Accepted	Pending	3000001048	2025-03-18 11:19:28.428470000	11:19:28.429733638 IBM	0.000254	6244		12 - Customer Trade	0 0161	

Total Rows: 118

Total Result: 118 Page 1 Rows Per Page 1,000

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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

---

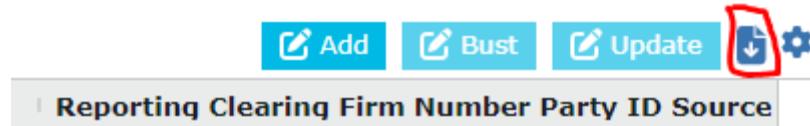
Control Date	02/19/2025	Original Control Date	02/19/2025	
Contra Firm Compliance ID	Contra Firm Party ID			
NRA Trade ID	From	Fractional Share Qty	To	Fractional Share Qty

### 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.

### 3.2 Exporting to Excel



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

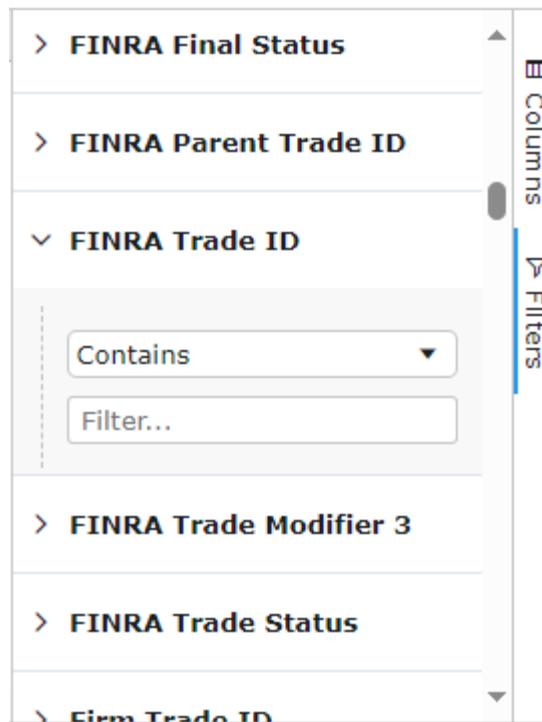
### 3.3 Sorting

Report Time ↑	
09:15:08.925161809	C
09:15:09.925155412	C
09:15:11.925148619	C
09:15:13.925149601	C
09:15:15.925138289	C
09:15:16.925147670	C
09:15:20.925160699	C
09:15:29.925149523	C
09:15:30.926420228	C
09:15:30.926420228	C
09:15:30.926420228	C

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)

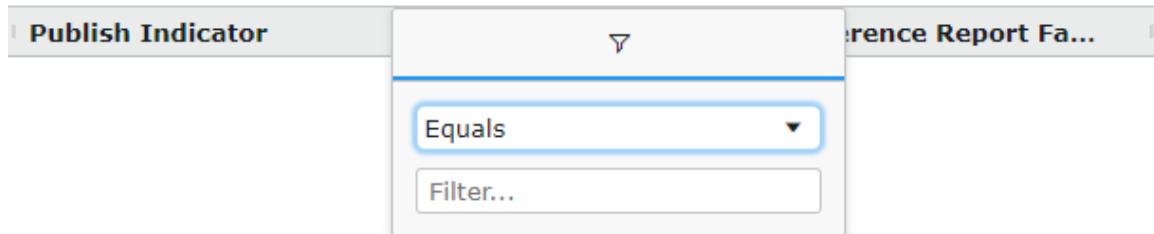
### 3.4 Filtering

Filtering grids can be accomplished two different ways:

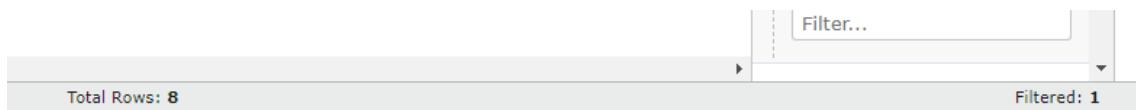


First by clicking the “Filters” button on the right side of any grid. This will open a panel that will display all columns. You can filter as many columns as you like.

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



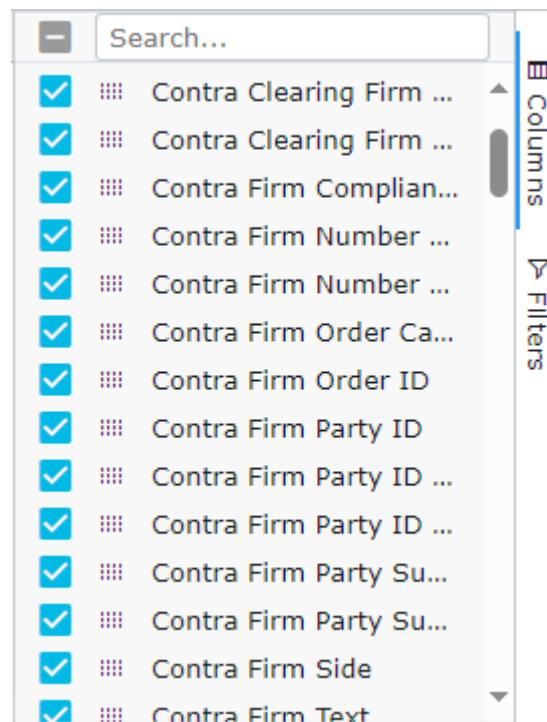
Each column can have two filter values, and the filter can be set to require both (AND) or either (OR). The criteria can be Equals, Does not equal, Greater than, Greater than or equal to, Less than, Between, Blank or Not blank.



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

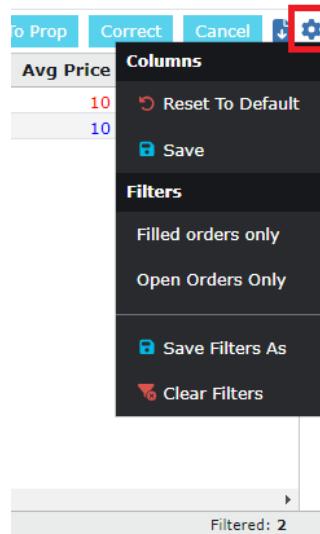
### 3.5 Column Reordering

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

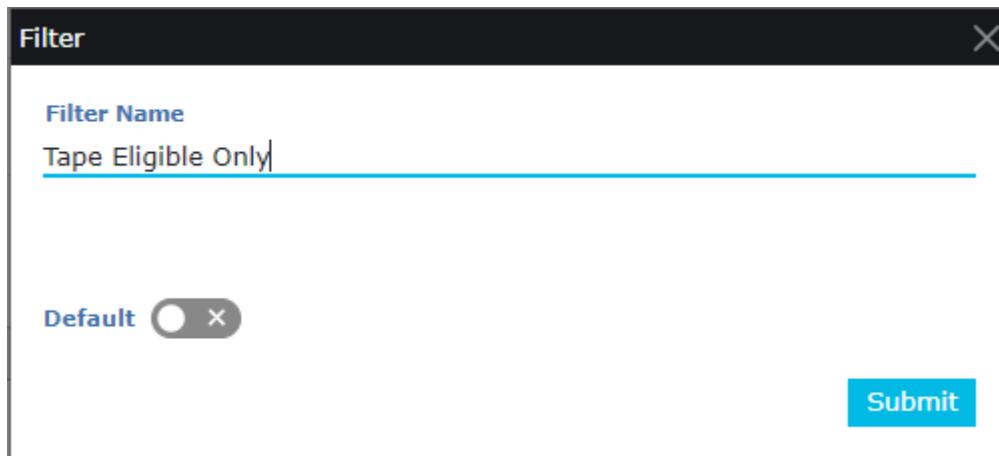


Alternatively, the **Columns** panel on the right side of the grid can be utilized. Open the panel, click and hold the highlighted icon and drag the column up or down to the desired position. Any column can also be displayed or hidden by checking or unchecking the checkbox next to the column.

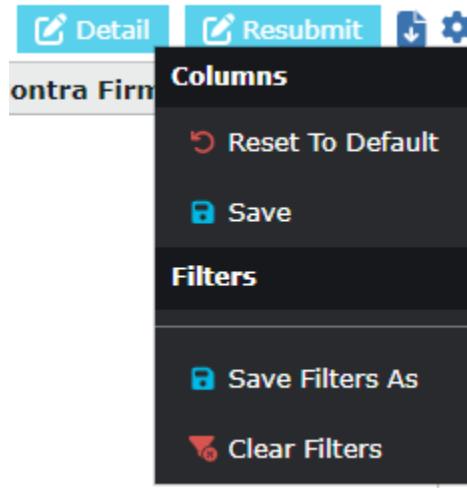
### 3.6 Saving and Loading Grid Configurations



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



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



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

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

#### 4. Trade Report Management

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

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

##### 4.1 Trades

PRISM ©

TRADE MANAGEMENT

Trades | Rejected Trades | Transactions | Transactions History

Execution Date: 02/19/2025 | Report Time: From 00:00:00.000000 To 23:59:59.999999 | Control Date: 02/19/2025 | Original Control Date: 02/19/2025

Report Time: From 00:00:00.000000 To 23:59:59.999999 | Contra Clearing Firm Number Party ID: Contra Firm Compliance ID: Contra Firm Party ID

Contra Firm Side: Status: FINRA Trade ID: From: Fractional Share Qty: To: Fractional Share Qty:

From: Price: To: Price: From: Qty: To: Qty: Price Override: Reporting Clearing Firm Number Party ID:

Reporting Firm Compliance ID: Reporting Firm Party ID: Reporting Firm Side: Short Sale Indicator:

Symbol: Trade ID: Trade Modifier: 3 SRC

**Search:**

**Add | Bust | Update |**

Status	Trade Report Type	Trade ID	Execution Date/Time	Report Time	Symbol	Qty	Price	Publish Indicator	As
TRAK - Accepted	0 - Submit	3000000026	2025-02-19 09:15:08.924...	09:15:08.925161809	DGL	100	996.973184	Y - Publish	
TREJ - Rejected	0 - Submit	3000000050	2025-02-19 09:15:11.924...	09:15:11.925148619	SBH	100	973.029424	Y - Publish	
GTRJ - Rejected	0 - Submit	3000000090	2025-02-19 09:15:18.924...	09:15:18.925147670	VIG	6922	970.320696	Y - Publish	
TCAK - Cancelled	0 - Submit	3000000194	2025-02-19 09:15:29.924...	09:15:29.925149523	RISE	100	1016.9807	Y - Publish	
FRJ	6 - Cancel	3000000202	2025-02-19 09:15:30.924...	09:15:42.045068989	TCK	5397	1005.846368	Y - Publish	
TCAK - Cancelled	0 - Submit	3000000202	2025-02-19 09:15:30.924...	09:15:30.926420228	TCK	5397	1005.846368	Y - Publish	
FRJ	0 - Submit	3000000202	2025-02-19 09:15:30.924...	09:15:30.926420228	TCK	5397	1005.846368	Y - Publish	
GTRJ - Rejected	0 - Submit	3000000218	2025-02-19 09:15:32.924...	09:15:32.925267156	DK	100	1017.758552	Y - Publish	
TORK - Corrected	5 - Correction	3000000754	2025-02-19 09:15:35.924...	09:16:47.101841202	EWJ	100	996.640222	Y - Publish	
TREJ - Rejected	0 - Submit	3000000274	2025-02-19 09:15:40.924...	09:15:40.925149664	SRS	100	984.136208	Y - Publish	

Total Rows: 679

Total Result: 679 | Page: 1 | Rows Per Page: 1,000 | < > |

- 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



**Add | Bust | Update |**

Price | Publish Indicator | As

996.973184 Y - Publish

973.029424 Y - Publish

Column

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



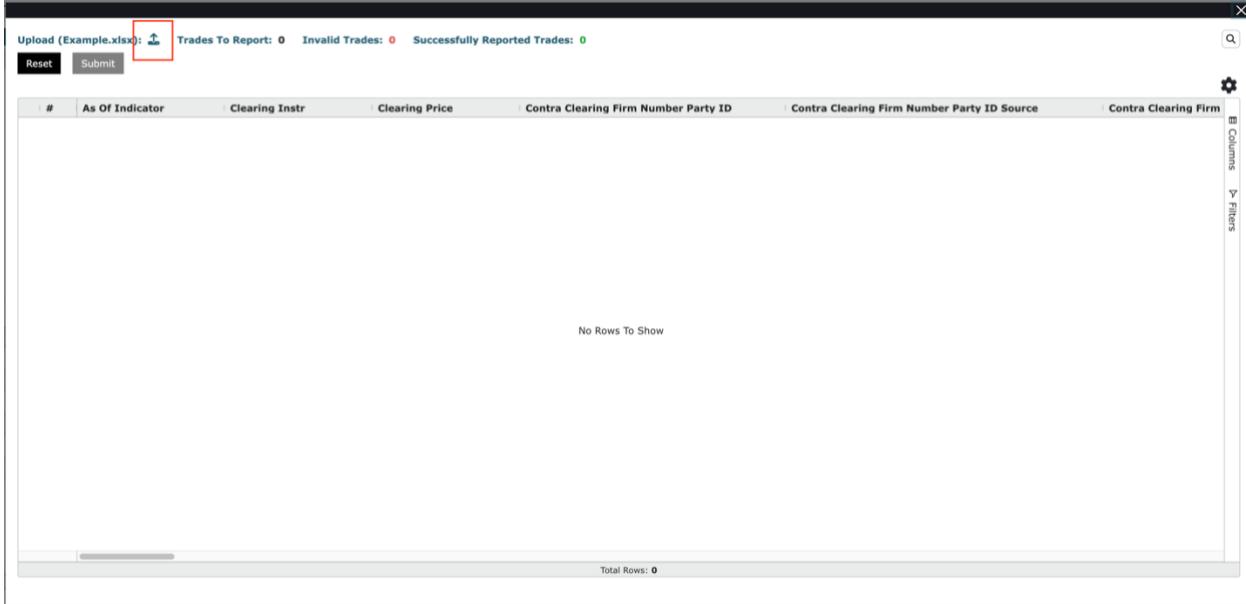
Upload (Example.xlsx):  Trades To Report: 0 Invalid Trades: 0 Successfully Reported Trades: 0

**Reset | Submit**

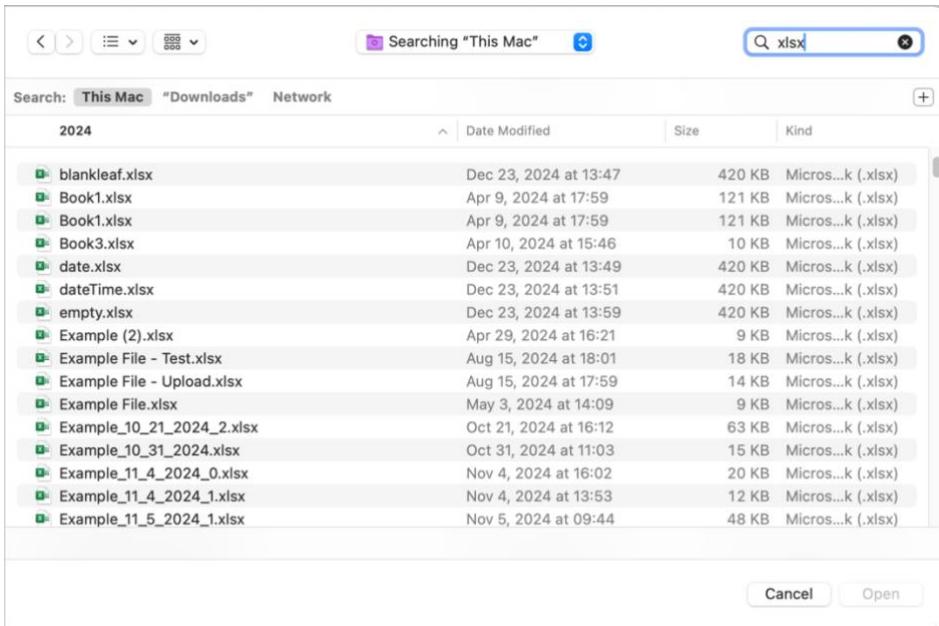
#	As Of Indicator	Clearing Instr	Clearing Price	Contra Clearing Firm Number Party ID	Co

- Upload the file

- Click the icon



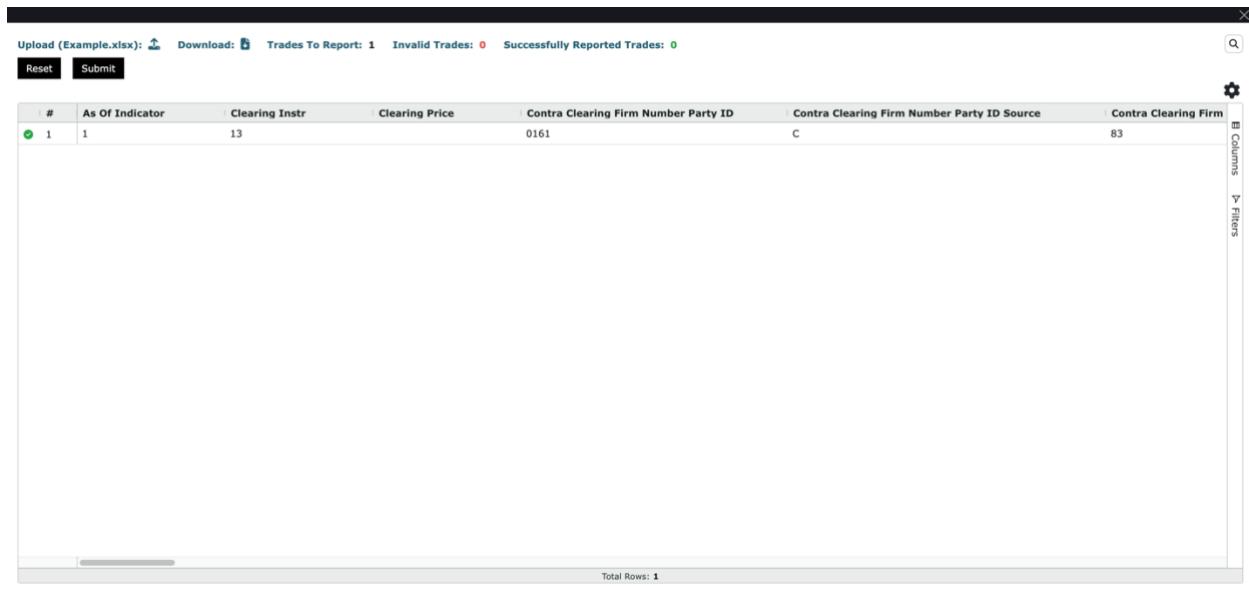
- Select the file to upload
  - xlsx and xls files are supported to upload.



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

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

- All the trades are good to report.



Upload (Example.xlsx):  Download:  Trades To Report: 1 Invalid Trades: 0 Successfully Reported Trades: 0

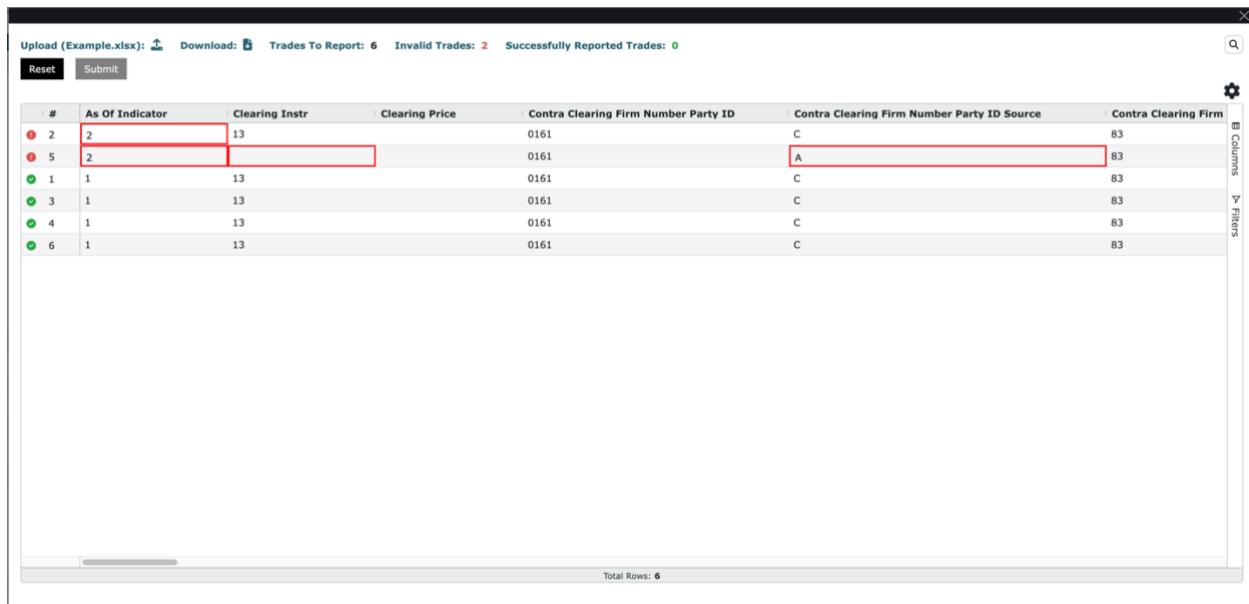
Reset Submit

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

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.



Upload (Example.xlsx):  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
2	2	13		0161	C	83
5	2			0161	A	83
1	1	13		0161	C	83
3	1	13		0161	C	83
4	1	13		0161	C	83
6	1	13		0161	C	83

Total Rows: 6

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

Upload (Example.xlsx):  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
0	2	13	0161	C	83	
0	5	2	0161	A	83	
0	1	13	0161	C	83	
0	3	1	0161	C	83	
0	4	1	0161	C	83	
0	6	13	0161	C	83	

Total Rows: 6

Page 1 Rows Per Page 100 **1. As Of Indicator: 0, 1**

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Upload (Example.xlsx):  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
0	2	13	0161	C	83	
0	5	2	0161	A	83	
0	1	13	0161	C	83	
0	3	1	0161	C	83	
0	4	1	0161	C	83	
0	6	13	0161	C	83	

Total Rows: 6

1. **As Of Indicator: 0, 1**  
2. **Clearing Instr: 10, 11, 12, 13, 98**  
3. **Contra Clearing Firm Number Party ID Source: C**  
4. **Price Type: 98**

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

Upload (Example.xlsx):  Download:  Trades To Report: 6 Invalid Trades: 2 Successfully Reported Trades: 0

Reset Submit

Selected: 1 Total Rows: 6

#	As Of Indicator	Clearing Instr	Clearing Price	Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Source	Contra Clearing Firm
0 2	2	13		0161	C	83
0 5	2			0161	A	83
0 1	1	13		0161	C	83
0 3	1	13		0161	C	83
0 4	1	13		0161	C	83
0 6	1	13		0161	C	83

- The edited data in trades are marked with yellow background.

- The edited data means that this data from the table is different from the one from the uploaded file.

Upload (Example.xlsx):  Download:  Trades To Report: 6 Invalid Trades: 2 Successfully Reported Trades: 0

Reset Submit

Selected: 1 Total Rows: 6

#	As Of Indicator	Clearing Instr	Clearing Price	Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Source	Contra Clearing Firm
0 2	2	13		0161	C	83
0 5	2			0161	A	83
0 1	1	13		0161	C	83
0 3	1	13	100.1	0161	C	83
0 4	1	13	200.2	0161	C	83
0 6	1	13		0161	C	83

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

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

Upload (Example.xlsx):  Download:  Trades To Report: 6 Invalid Trades: 1 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
2	1	13		0161	C	83
5	2			0161	A	83
1	1	13		0161	C	83
3	1	13		0161	C	83
4	1	13		0161	C	83
6	1	13		0161	C	83

Total Rows: 6

Upload (Example.xlsx):  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
2	1	13		0161	C	83
5	2			0161	A	83
1	1	13	200.2	0161	C	83
3	1	13	100.1	0161	C	83
4	1	13	-100.1	0161	C	83
6	1	13		0161	C	83

Total Rows: 6

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

Upload (Example.xlsx)  Download:  Trades To Report: 6 Invalid Trades: 0 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
2	1	13		0161	C	83
5	1	13		0161	C	83
1	1	13		0161	C	83
3	1	13	100.1	0161	C	83
4	1	13	200.2	0161	C	83
6	1	13		0161	C	83

Total Rows: 6

Upload (Example.xlsx)  Download:  Trades To Report: 6 Invalid Trades: 0 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
1	1	13		0161	C	83
2	1	13		0161	C	83
3	1	13	100.1	0161	C	83
4	1	13	200.2	0161	C	83
5	1	13		0161	C	83
6	1	13		0161	C	83

Confirmation

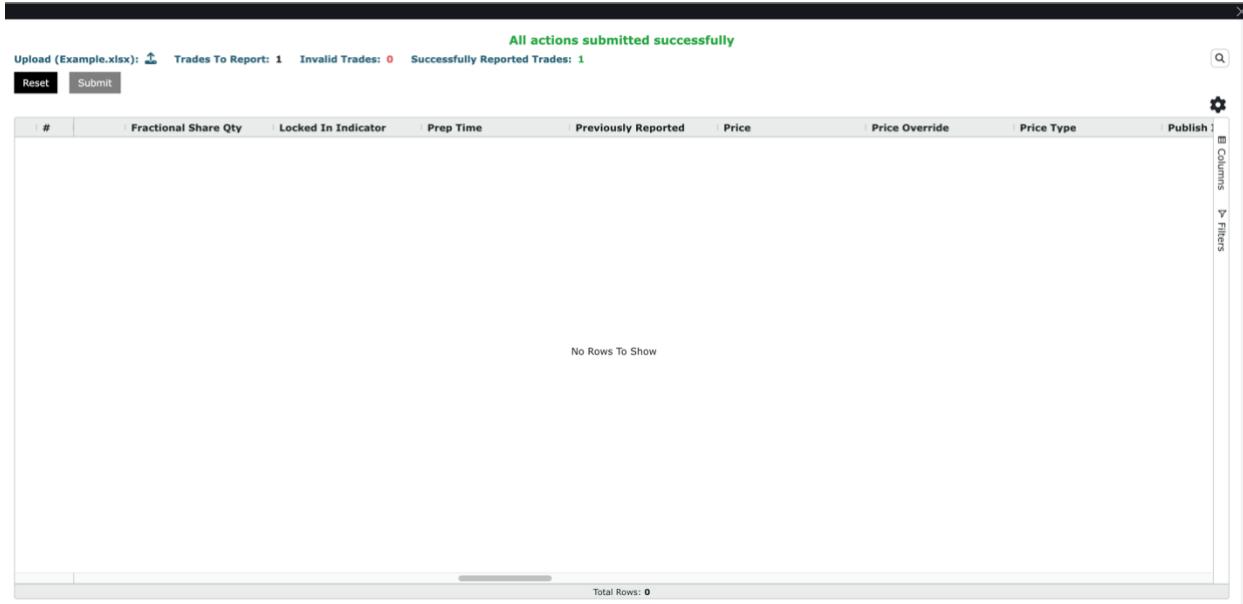
×

Are you sure you want to submit 6 trade reports?

Confirm Cancel

Total Rows: 6

- All the trades success to report



All actions submitted successfully

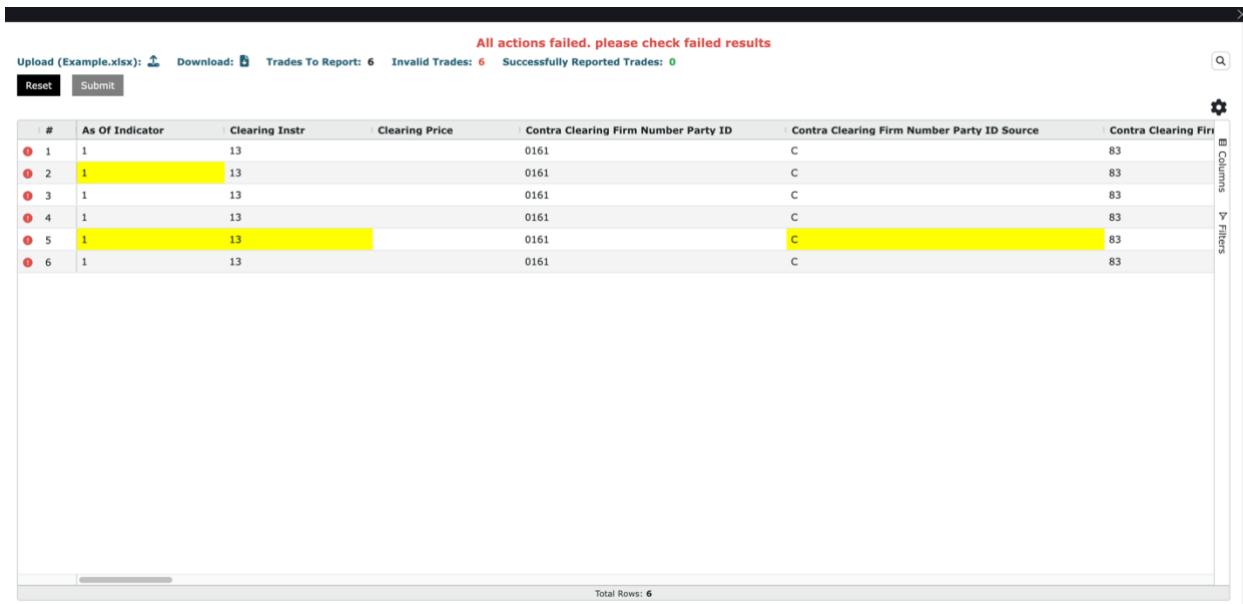
Upload (Example.xlsx): Trades To Report: 1 Invalid Trades: 0 Successfully Reported Trades: 1

Reset Submit

No Rows To Show

Total Rows: 0

- All the trades fail to report



All actions failed. please check failed results

Upload (Example.xlsx): Download: Trades To Report: 6 Invalid Trades: 6 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
1	1	13	0161	C	83	
2	1	13	0161	C	83	
3	1	13	0161	C	83	
4	1	13	0161	C	83	
5	1	13	0161	C	83	
6	1	13	0161	C	83	

Total Rows: 6

- Part of trades fail to report

Upload (Example.xlsx):  Download:  Trades To Report: 6 Invalid Trades: 0 Successfully Reported Trades: 0

Reset Submit

Total Rows: 6

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

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

Upload (Example.xlsx):  Download:  Trades To Report: 6 Invalid Trades: 2 Successfully Reported Trades: 4

2/6 actions failed. please check failed results

Reset Submit

Total Rows: 2

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

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

2/6 actions failed. please check failed results

Upload (Example.xlsx): Download: Trades To Report: 6 Invalid Trades: 2 Successfully Reported Trades: 4

Reset Submit

# 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 Indicator

4 00001928b6b572e44 20250128-01:45:30.0000... 00001928b6b572e44

5 00001928b6b572e44 20250128-01:45:30.0000... 00001928b6b572e44

Total Rows: 2

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

2/6 actions failed. please check failed results

Upload (Example.xlsx): Download: Trades To Report: 6 Invalid Trades: 2 Successfully Reported Trades: 4

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

4 1 13 0161 C 83

5 1 13 0161 C 83

Total Rows: 2

1. [FORMAT\_VALIDATION] Execution Date/Time: TRD\_DATE must match date of TRANSACT\_TIME

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

2/6 actions failed. please check failed results

Upload (Example.xlsx):  Download:  Trades To Report: 6 Invalid Trades: 0 Successfully Reported Trades: 4

Reset Submit

● 4 1 13 0161 C 83  
● 5 1 13 0161 C 83

Total Rows: 2

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

Upload (Example.xlsx):  Download:  Trades To Report: 6 Invalid Trades: 1 Successfully Reported Trades: 0

Reset Submit

● 2 1 13 0161 C 83  
● 5 2  0161 A 83  
● 1 1 13 0161 C 83  
● 3 1 13 0161 C 83  
● 4 1 13 0161 C 83  
● 6 1 13 0161 C 83

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

TRADE MANAGEMENT								
<input type="button" value="Add"/> <input type="button" value="Bust"/> <input type="button" value="Update"/> <input type="button" value="Delete"/>								
<input type="button" value="Search"/>								
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 Num	<input type="button" value="Columns"/>
<input checked="" type="checkbox"/>	False - trade is not an As-Of trade (default)	11 - QSR Clear	0 0161	C	83 - Clearing Firm Number	CBSN000009	2	<input type="button" value="Print"/>
<input checked="" type="checkbox"/>	False - trade is not an As-Of trade (default)	11 - QSR Clear	0 0161	C	83 - Clearing Firm Number	CBSN000009	2	<input type="button" value="Print"/>
<input checked="" type="checkbox"/>	False - trade is not an As-Of trade (default)	11 - QSR Clear	0 0161	C	83 - Clearing Firm Number	CBSN000009	2	<input type="button" value="Print"/>
<input checked="" type="checkbox"/>	False - trade is not an As-Of trade (default)	11 - QSR Clear	0 0161	C	83 - Clearing Firm Number	CBSN000009	2	<input type="button" value="Print"/>
<input type="checkbox"/>	False - trade is not an As-Of trade (default)	11 - QSR Clear	0 0161	C	83 - Clearing Firm Number	CBSN000009	2	<input type="button" value="Print"/>
<input type="checkbox"/>	False - trade is not an As-Of trade (default)	11 - QSR Clear	0 0161	C	83 - Clearing Firm Number	CBSN000009	2	<input type="button" value="Print"/>
<input type="checkbox"/>	False - trade is not an As-Of trade (default)	98 - QSR Clear	0 0161	C	83 - Clearing Firm Number	CBSN000009	2	<input type="button" value="Print"/>

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

Trades To Bust: 4 Invalid Trades: 0 Successfully Busted Trades: 0			
<input type="button" value="Print Trade ID"/> <input type="button" value="Reporting Firm Order ID"/>			
<input type="button" value="Update"/> <input type="button" value="Reset"/> <input type="button" value="Submit"/>			
#	Firm Trade ID	Orig Control Date	Orig Trade ID
1	62272404-15	20250311	3000000011
2	62272406-15	20250311	3000000020
3	62272407-17	20250311	3000000032
4	62272408-17	20250311	3000000044

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

Trades To Bust: 4 Invalid Trades: 0 Successfully Busted Trades: 0

Firm Trade ID  Reporting Firm Order ID

<input checked="" type="checkbox"/>	#	Firm Trade ID	Orig Control Date	Orig Trade ID	Reporting Firm Order ID
<input checked="" type="checkbox"/>	1	62272404-15	20250311	3000000011	0
<input checked="" type="checkbox"/>	2	62272406-15	20250311	3000000020	0
<input checked="" type="checkbox"/>	3	62272407-17	20250311	3000000032	0
<input checked="" type="checkbox"/>	4	62272408-17	20250311	3000000044	0

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

Trades To Bust: 4 Invalid Trades: 0 Successfully Busted Trades: 0

Firm Trade ID

 TEST

 Reporting Firm Order ID

Update Reset Submit

	#	Firm Trade ID	Orig Control Date	Orig Trade ID	Reporting Firm Order ID
<input type="checkbox"/>	1	TEST	20250311	3000000011	0
<input type="checkbox"/>	2	TEST	20250311	3000000020	0
<input type="checkbox"/>	3	TEST	20250311	3000000032	0
<input type="checkbox"/>	4	TEST	20250311	3000000044	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 Reporting Firm Order ID

Update Reset Submit

	#	Firm Trade ID	Orig Control Date	Orig Trade ID	Reporting Firm Order ID
<input type="checkbox"/>	1	TEST	20250311	3000000011	0
<input type="checkbox"/>	2	TEST	20250311	3000000020	0
<input type="checkbox"/>	3	TEST	20250311	3000000032	0
<input type="checkbox"/>	4	TEST	20250311	3000000044	0

Confirmation

Are you sure you want to submit 4 trade reports?

Confirm Cancel

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

All actions submitted successfully

Trades To Bust: 4 Invalid Trades: 0 Successfully Busted Trades: 4

Firm Trade ID Reporting Firm Order ID

Update Reset Submit

	#	Firm Trade ID	Orig Control Date	Orig Trade ID	Reporting Firm Order ID
<input type="checkbox"/>	1	TEST	20250311	3000000011	0
<input type="checkbox"/>	2	TEST	20250311	3000000020	0
<input type="checkbox"/>	3	TEST	20250311	3000000032	0
<input type="checkbox"/>	4	TEST	20250311	3000000044	0

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

1. Select trades by clicking on the check button

## TRADE MANAGEMENT

[Trades](#) [Rejected Trades](#) [Transactions](#) [Transactions History](#)

Search

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 Number
<input checked="" type="checkbox"/>	False - trade is not an As-Of trade (default)	98 - QSR no Clear	0 161	C	83 - Clearing Firm Number	11-QSR-CLR-sef	2	
<input checked="" type="checkbox"/>	false - trade is not an As-Of trade (default)	11 - QSR Clear	0 0161	C	83 - Clearing Firm Number	CBSN000009	2	
<input checked="" type="checkbox"/>	false - trade is not an As-Of trade (default)	11 - QSR Clear	0 0161	C	83 - Clearing Firm Number	CBSN000009	2	
<input checked="" type="checkbox"/>	false - trade is not an As-Of trade (default)	11 - QSR Clear	0 0235	C	83 - Clearing Firm Number	CBSN000009	2	
<input checked="" type="checkbox"/>	false - trade is not an As-Of trade (default)	11 - QSR Clear	0 0235	C	83 - Clearing Firm Number	CBSN000009	2	
<input type="checkbox"/>	1 = true - trade is an As-Of trade	10 - AGU	0 161	C	83 - Clearing Firm Number	11-QSR-CLR-sef	2	
<input type="checkbox"/>	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

<input type="checkbox"/>	#	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
<input type="checkbox"/>	1	QSR no clear	161	C	83	11-QSR-CLR-sef	2
<input checked="" type="checkbox"/>	2	QSR clear	0161	C	83	CBSN000009	2
<input type="checkbox"/>	3	QSR clear	0161	C	83	CBSN000009	2
<input checked="" type="checkbox"/>	4	QSR clear	0235	C	83	CBSN000009	2
<input checked="" type="checkbox"/>	5	QSR clear	0235	C	83	CBSN000009	2

Update Reset Submit

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

Trades To Bust: 5 Invalid Trades: 0 Successfully Busted Trades: 0

<input type="checkbox"/>	#	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
<input checked="" type="checkbox"/>	1	QSR no clear	161	C	83	11-QSR-CLR-sef	2
<input checked="" type="checkbox"/>	2	QSR clear	0161	C	83	CBSN000009	2
<input checked="" type="checkbox"/>	3	QSR clear	0161	C	83	CBSN000009	2
<input checked="" type="checkbox"/>	4	QSR clear	0235	C	83	CBSN000009	2
<input checked="" type="checkbox"/>	5	QSR clear	0235	C	83	CBSN000009	2

Update Reset Submit

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

Trades To Bust: 5 Invalid Trades: 0 Successfully Busted Trades: 0

<input type="checkbox"/>	#	Type	Contra Firm Side	Contra Firm Text	Contra Give-up Firm Party ID	Contra Give-up Firm Party ID Source	Contra Give-up Firm Party Role	Control Date	Firm Trade ID	Loc
<input type="checkbox"/>	1	Sell		exampletxt				20250307	TEST	Yes
<input checked="" type="checkbox"/>	2	Buy		exampletxt				20250307	TEST	Yes
<input checked="" type="checkbox"/>	3	Buy		exampletxt				20250307	TEST	Yes
<input checked="" type="checkbox"/>	4	Sell		exampletxt				20250307	TEST	Yes
<input checked="" type="checkbox"/>	5	Sell		exampletxt				20250307	TEST	Yes

Update Reset Submit

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

Trades To Bust: 5 Invalid Trades: 0 Successfully Busted Trades: 0

<input type="checkbox"/> Clearing Instr	<input type="checkbox"/> Contra Clearing Firm Number Party ID	<input type="checkbox"/> Contra Clearing Firm Number Party ID Source	<input type="checkbox"/> Contra Clearing Firm Number Party Role
<input type="checkbox"/> Contra Firm Order ID	<input checked="" type="checkbox"/> Contra Firm Text	<input checked="" type="checkbox"/> Firm Trade ID	<input type="checkbox"/> Locked In Indicator
<input type="checkbox"/> Price Type	<input type="checkbox"/> Reporting Clearing Firm Number Party ID	<input type="checkbox"/> Reporting Clearing Firm Number Party ID Source	<input type="checkbox"/> Reporting Clearing Firm Number Party Role
<input type="checkbox"/> Reporting Firm Order ID	<input type="checkbox"/> Reporting Firm Text	<input type="checkbox"/> Sec Exec ID	<input type="checkbox"/> Sec Firm Trade ID

Update    Reset    Submit

<input type="checkbox"/>	#	Type	Contra Firm Side	Contra Firm Text	Contra Give-up Firm Party ID	Contra Give-up Firm Party ID Source	Contra Give-up Firm Party Role
<input type="checkbox"/>	1	Sell	<input type="checkbox"/>	exampletxt	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	2	Buy	<input type="checkbox"/>	exampletxt	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	3	Buy	<input type="checkbox"/>	exampletxt	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	4	Sell	<input type="checkbox"/>	exampletxt	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	5	Sell	<input type="checkbox"/>	exampletxt	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Confirmation

Are you sure you want to submit 5 trade reports?

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

All actions submitted successfully

<input type="checkbox"/> Clearing Instr	<input type="checkbox"/> Contra Clearing Firm Number Party ID	<input type="checkbox"/> Contra Clearing Firm Number Party ID Source	<input type="checkbox"/> Contra Clearing Firm Number Party Role	<input type="checkbox"/> Contra Firm Compliance ID	<input type="checkbox"/> Contra Firm Number of Party ID
<input type="checkbox"/> Contra Firm Order ID	<input checked="" type="checkbox"/> Contra Firm Text	<input checked="" type="checkbox"/> Firm Trade ID	<input type="checkbox"/> TEST	<input type="checkbox"/> Locked In Indicator	<input type="checkbox"/> Prep Time
<input type="checkbox"/> Price Type	<input type="checkbox"/> Reporting Clearing Firm Number Party ID	<input type="checkbox"/> Reporting Clearing Firm Number Party ID Source	<input type="checkbox"/> Reporting Clearing Firm Number Party Role	<input type="checkbox"/> Reporting Firm Compliance ID	<input type="checkbox"/> Reporting Firm Number of Party IDs
<input type="checkbox"/> Reporting Firm Order ID	<input type="checkbox"/> Reporting Firm Text	<input type="checkbox"/> Sec Exec ID	<input type="checkbox"/> Sec Firm Trade ID		

Update    Reset    Submit

#### 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.

Trades To Correct: 5 Invalid Trades: 0 Successfully Corrected Trades: 0

Execution Date/Time	Qty	Price	Reporting Clearing Firm Number Party ID	Reporting Firm Side	Reporting Firm 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 Party ID Role
Contra Firm Compliance ID	Contra Firm Order ID	Contra Firm Order Capacity	Trade Modifier 1	Trade Modifier 2	Trade Modifier 2 Time
Trade Modifier 3	Trade Modifier 4	Trade Modifier 4 Time	Reporting Obligation	Price Override	TT Exempt
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	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 IDs	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	Trade Report Class	

**Update** **Reset** **Submit**

#	Orig Trade ID	Trade ID	Execution Date/Time	Symbol Root	Symbol Sfx	Qty	Price	Publish Indicator	Clearing Inst
1	3000000011	3000000011	20250314-12:30:15.6110...	IBM		20	20	Y	Customer trade
2	3000000005	3000000005	20250314-11:07:12.8210...	IBM		12	12	Y	Customer trade
3	3000000002	3000000002	20250314-11:03:32.4430...	IBM		12	6	Y	Customer trade
4	3000000008	3000000008	20250314-11:45:36.2060...	IBM		20	20	Y	Customer trade
5	3000000002	3000000002	20250314-11:03:32.4430...	IBM		12	6	Y	Customer trade

**Columns** **Filters**

- 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 Trades: 0

Execution Date/Time	Qty	Price	Reporting Clearing Firm Number Party ID	Reporting Firm Side	Reporting Firm 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 Party ID Role
Contra Firm Compliance ID	Contra Firm Order ID	Contra Firm Order Capacity	Trade Modifier 1	Trade Modifier 2	Trade Modifier 2 Time
Trade Modifier 3	Trade Modifier 4	Trade Modifier 4 Time	Reporting Obligation	Price Override	TT Exempt
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	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 IDs	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	Trade Report Class	

**Update** **Reset** **Submit**

#	Orig Trade ID	Trade ID	Execution Date/Time	Symbol Root	Symbol Sfx	Qty	Price	Publish Indicator	Clearing Inst
1	3000000002	3000000002	20250314-11:03:32.4430...	IBM		12	6	Y	Customer trade
4	3000000008	3000000008	20250314-11:45:36.2060...	IBM		20	20	Y	Customer trade
5	3000000002	3000000002	20250314-11:03:32.4430...	IBM		12	6	Y	Customer trade
2	3000000011	3000000011	20250314-12:30:15.6110...	IBM		20	20	Y	Customer trade
3	3000000005	3000000005	20250314-11:07:12.8210...	IBM		12	12	Y	Customer trade

**Columns** **Filters**

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

Trades To Correct: 5 Invalid Trades: 3 Successfully Corrected Trades: 0

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
0	0	1	C	
0	0	1	C	
0	0	1	C	
83	1	C	C	
83	1	C	C	

Update Reset Submit

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

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
0	0	1	C	
0	0	1	C	
0	0	1	C	
83	1	C	C	
83	1	C	C	

1. Contra Clearing Firm Number Party Role: 83

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

Filter Fields (Top Row):

- Contra Firm Compliance ID
- Contra Firm Order ID
- Contra Firm Order Capacity
- Trade Modifier 1
- Trade Modifier 2
- Trade Modifier 3 Time

Filter Fields (Second Row):

- Trade Modifier 3
- Trade Modifier 4
- Trade Modifier 4 Time
- Reporting Obligation
- Price Override
- TT Exempt

Filter Fields (Third Row):

- Short Sale Indicator
- Clearing Price
- Contra Clearing Firm Number Party ID Source
- Contra Clearing Firm Number Party Rule
- Contra Firm Number of Party ID SubIDs
- Contra Firm Number of Party SubIDs

Filter Fields (Fourth Row):

- 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

Filter Fields (Fifth Row):

- Contra Give-up Firm Party Role
- Fractional Share Qty
- Prep Time
- Previously Reported
- Price Type
- Related Market Center

Filter Fields (Sixth Row):

- 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 Party SubIDs
- Reporting Firm Party SubID

Filter Fields (Seventh Row):

- 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

Filter Fields (Eighth Row):

- Sec Firm Trade ID
- Seller Days
- Settlement Date
- Special Process Flag
- Trade Report Class

Buttons: **Update**, **Reset**, **Submit**

Table View (Rows 1-5):

#	Orig Trade ID	Trade ID	Execution Date/Time	Symbol Root	Symbol Sfx	Qty	Price	Publish Indicator	Clearing Inst
<input checked="" type="checkbox"/> 1	3000000005	3000000005	20250314-11:07:12.821000...	IBM		12	12	Y	Customer tra...
<input type="checkbox"/> 2	3000000011	3000000011	20250314-12:30:15.6110...	IBM		20	20	Y	Customer tra...
<input type="checkbox"/> 3	3000000002	3000000002	20250314-11:03:32.4430...	IBM		12	6	Y	Customer tra...
<input type="checkbox"/> 4	3000000008	3000000008	20250314-11:45:36.2060...	IBM		20	20	Y	Customer tra...
<input type="checkbox"/> 5	3000000002	3000000002	20250314-11:03:32.4430...	IBM		12	6	Y	Customer tra...

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

Filter Fields (Top Row):

- Contra Firm Compliance ID
- Contra Firm Order ID
- Contra Firm Order Capacity
- Trade Modifier 1
- Trade Modifier 2
- Trade Modifier 3 Time

Filter Fields (Second Row):

- Trade Modifier 3
- Trade Modifier 4
- Trade Modifier 4 Time
- Reporting Obligation
- Price Override
- TT Exempt

Filter Fields (Third Row):

- Short Sale Indicator
- Clearing Price
- Contra Clearing Firm Number Party ID Source
- Contra Clearing Firm Number Party Rule
- Contra Firm Number of Party ID SubIDs
- Contra Firm Number of Party SubIDs

Filter Fields (Fourth Row):

- 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

Filter Fields (Fifth Row):

- Contra Give-up Firm Party Role
- Fractional Share Qty
- Prep Time
- Previously Reported
- Price Type
- Related Market Center

Filter Fields (Sixth Row):

- 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 Party SubIDs
- Reporting Firm Party SubID

Filter Fields (Seventh Row):

- 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

Filter Fields (Eighth Row):

- Sec Firm Trade ID
- Seller Days
- Settlement Date
- Special Process Flag
- Trade Report Class

Buttons: **Update**, **Reset**, **Submit**

Table View (Rows 1-5):

#	Orig Trade ID	Trade ID	Execution Date/Time	Symbol Root	Symbol Sfx	Qty	Price	Publish Indicator	Clearing Inst
<input type="checkbox"/> 1	3000000005	3000000005	20250314-11:07:12.821000...	IBM		100	200.2	Y	Customer tra...
<input checked="" type="checkbox"/> 2	3000000011	3000000011	20250314-12:30:15.6110...	IBM		20	20	Y	Customer tra...
<input type="checkbox"/> 3	3000000002	3000000002	20250314-11:03:32.4430...	IBM		12	6	Y	Customer tra...
<input type="checkbox"/> 4	3000000008	3000000008	20250314-11:45:36.2060...	IBM		20	20	Y	Customer tra...
<input type="checkbox"/> 5	3000000002	3000000002	20250315-11:03:32.4430...	IBM		12	6	Y	Customer tra...

- 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.

Contra Firm Compliance ID

Contra Firm Order ID

Contra Firm Order Capacity

Trade Modifier 1

Trade Modifier 2

Trade Modifier 3 Time

Trade Modifier 3

Trade Modifier 4

Trade Modifier 4 Time

Reporting Obligation

Price Override

TT Exempt

Short Sale Indicator

Clearing Price

Contra Clearing Firm Number Party ID Source

Contra Clearing Firm Number Party Role

Contra Firm Number of Party ID SubIDs

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

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 IDs

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

Trade Report Class

Update

Reset

Submit

Orig Trade ID	Trade ID	Execution Date/Time	Symbol Root	Symbol Sfx	Qty	Price	Publish Indicator	Clearing Inst
1	3000000005	20250314-11:07:12.8210...	IBM		100	200.2	Y	Customer trade
2	3000000011	20250314-12:30:15.6110...	IBM		20	test for wrong price	Y	Customer trade
3	3000000002	20250314-11:03:32.4430...	IBM		12	6	Y	Customer trade
4	3000000008	20250314-11:45:36.2060...	IBM		20	20	Y	Customer trade
5	3000000002	20250315-11:03:32.4430...	IBM		12	6	Y	Customer trade

Contra Firm Compliance ID

Contra Firm Order ID

Contra Firm Order Capacity

Trade Modifier 1

Trade Modifier 2

Trade Modifier 2 Time

Trade Modifier 3

Trade Modifier 4

Trade Modifier 4 Time

Reporting Obligation

Price Override

TT Exempt

Short Sale Indicator

Clearing Price

Contra Clearing Firm Number Party ID Source

Contra Clearing Firm Number Party Role

Contra Firm Number of Party ID SubIDs

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

Contra Give-up Firm Party ID Source

Related Market Center

Reporting Firm Center

Contra Firm Text

Reporting Firm Center

Fractional Share Qty

Prep Time

Previously Reported

Price Type

Reporting Firm Number of Party ID Source

Reporting Firm Number of Party SubIDs

Reporting Clearing Firm Number Party ID Source

Reporting Clearing Firm Number Party Role

Firm Trade ID

Reporting Firm Number of Party SubIDs

Reporting Firm Party SubID Type

Reporting Firm Party Role

Reporting Firm Text

Reporting Give-up Firm Party ID

Reporting Give-up Firm Party ID Source

Reporting Give-up Firm Party Role

Seller Days

Settlement Date

Special Process Flag

Trade Report Class

Update
Reset
Submit

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

Contra Firm Compliance ID Contra Firm Order ID Contra Firm Order Capacity Trade Modifier 1 Trade Modifier 2 Trade Modifier 2 Time  
 Trade Modifier 3 Trade Modifier 4 Trade Modifier 4 Time Reporting Obligation Price Override TT Exempt  
 Short Sale Indicator Clearing Price Contra Clearing Firm Number Party Role 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 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 IDs 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 Trade Report Class

**Update** **Reset** **Submit** 

#	Orig Trade ID	Trade ID	Execution Date/Time	Symbol Root	Symbol Sfx	Qty	Price	Publish Indicator	Clearing Ins
<input checked="" type="checkbox"/> 1	3000000005	3000000005	20250314-11:07:12.8210...	IBM		12	12	Y	Customer tra
<input type="checkbox"/> 2	3000000011	3000000011	20250314-12:30:15.6110...	IBM		20	20	Y	Customer tra
<input checked="" type="checkbox"/> 3	3000000002	3000000002	20250314-11:03:32.4430...	IBM		12	6	Y	Customer tra
<input checked="" type="checkbox"/> 4	3000000008	3000000008	20250314-11:45:36.2060...	IBM		20	20	Y	Customer tra
<input type="checkbox"/> 5	3000000002	3000000002	20250314-11:03:32.4430...	IBM		12	6	Y	Customer tra

- Open the switch of the input

Trades To Correct: 5 Invalid Trades: 0 Successfully Corrected Trades: 0

Execution Date/Time Qty Price Reporting Clearing Firm Number Party ID Reporting Firm Side Reporting Firm Compliance ID  
 Reporting Firm Order ID Reporting Firm Order Capacity Contra Firm Party ID 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 Trade Modifier 2 Time  
 Trade Modifier 3 Trade Modifier 4 Trade Modifier 4 Time Reporting Obligation Price Override TT Exempt  
 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 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 IDs 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 Trade Report Class

**Update** **Reset** **Submit** 

#	Orig Trade ID	Trade ID	Execution Date/Time	Symbol Root	Symbol Sfx	Qty	Price	Publish Indicator	Clearing Ins
<input checked="" type="checkbox"/> 1	3000000005	3000000005	20250314-11:07:12.8210...	IBM		12	12	Y	Customer tra
<input type="checkbox"/> 2	3000000011	3000000011	20250314-12:30:15.6110...	IBM		20	20	Y	Customer tra
<input checked="" type="checkbox"/> 3	3000000002	3000000002	20250314-11:03:32.4430...	IBM		12	6	Y	Customer tra
<input checked="" type="checkbox"/> 4	3000000008	3000000008	20250314-11:45:36.2060...	IBM		20	20	Y	Customer tra
<input type="checkbox"/> 5	3000000002	3000000002	20250314-11:03:32.4430...	IBM		12	6	Y	Customer tra

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

Trades To Correct: 5 Invalid Trades: 0 Successfully Corrected Trades: 0

<input checked="" type="checkbox"/> 20250315-12:00:00.000000000	<input type="checkbox"/> Qty	<input checked="" type="checkbox"/> Price 100.01	<input type="checkbox"/> Reporting Clearing Firm Number Party ID	<input type="checkbox"/> Reporting Firm Side	<input type="checkbox"/> Reporting Firm Compliance ID
<input type="checkbox"/> Reporting Firm Order ID	<input type="checkbox"/> Reporting Firm Order Capacity	<input type="checkbox"/> Contra Firm Party ID	<input type="checkbox"/> Contra Clearing Firm Number Party ID	<input type="checkbox"/> Contra Firm Side	<input type="checkbox"/> Contra Firm Party ID Role
<input type="checkbox"/> Contra Firm Compliance ID	<input type="checkbox"/> Contra Firm Order ID	<input type="checkbox"/> Contra Firm Order Capacity	<input type="checkbox"/> Trade Modifier 1	<input type="checkbox"/> Trade Modifier 2	<input type="checkbox"/> Trade Modifier 2 Time
<input type="checkbox"/> Trade Modifier 3	<input type="checkbox"/> Trade Modifier 4	<input type="checkbox"/> Trade Modifier 4 Time	<input type="checkbox"/> Reporting Obligation	<input type="checkbox"/> Price Override	<input type="checkbox"/> TT Exempt
<input type="checkbox"/> Short Sale Indicator	<input type="checkbox"/> Clearing Price	<input type="checkbox"/> Contra Clearing Firm Number Party ID Source	<input type="checkbox"/> Contra Clearing Firm Number Party Role	<input type="checkbox"/> Contra Firm Number of Party ID	<input type="checkbox"/> Contra Firm Number of Party SubIDs
<input type="checkbox"/> Contra Firm Party ID Source	<input type="checkbox"/> Contra Firm Party SubID	<input type="checkbox"/> Contra Firm Party SubID Type	<input type="checkbox"/> Contra Firm Text	<input type="checkbox"/> Contra Give-up Firm Party ID	<input type="checkbox"/> Contra Give-up Firm Party ID Source
<input type="checkbox"/> Contra Give-up Firm Party Role	<input type="checkbox"/> Fractional Share Qty	<input type="checkbox"/> Prep Time	<input type="checkbox"/> Previously Reported	<input type="checkbox"/> Price Type	<input type="checkbox"/> Related Market Center
<input type="checkbox"/> Reporting Clearing Firm Number Party ID Source	<input type="checkbox"/> Reporting Clearing Firm Number Party Role	<input type="checkbox"/> Firm Trade ID	<input type="checkbox"/> Reporting Firm Number of Party IDs	<input type="checkbox"/> Reporting Firm Number of Party SubIDs	<input type="checkbox"/> Reporting Firm Party SubID
<input type="checkbox"/> Reporting Firm Party SubID Type	<input type="checkbox"/> Reporting Firm Text	<input type="checkbox"/> Reporting Give-up Firm Party ID	<input type="checkbox"/> Reporting Give-up Firm Party ID Source	<input type="checkbox"/> Reporting Give-up Firm Party Role	<input type="checkbox"/> Sec Exec ID
<input type="checkbox"/> Sec Firm Trade ID	<input type="checkbox"/> Seller Days	<input type="checkbox"/> Settlement Date	<input type="checkbox"/> Special Process Flag	<input type="checkbox"/> Trade Report Class	

**Update** **Reset** **Submit**

#	Orig Trade ID	Trade ID	Execution Date/Time	Symbol Root	Symbol Sfx	Qty	Price	Publish Indicator	Clearing Ins
<input checked="" type="checkbox"/>	1 3000000005	3000000005	20250314-11:07:12.8210...	IBM		12	12	Y	Customer tra
<input type="checkbox"/>	2 3000000011	3000000011	20250314-12:30:15.6110...	IBM		20	20	Y	Customer tra
<input checked="" type="checkbox"/>	3 3000000002	3000000002	20250314-11:03:32.4430...	IBM		12	6	Y	Customer tra
<input checked="" type="checkbox"/>	4 3000000008	3000000008	20250314-11:45:36.2060...	IBM		20	20	Y	Customer tra
<input type="checkbox"/>	5 3000000002	3000000002	20250314-11:03:32.4430...	IBM		12	6	Y	Customer tra

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

Trades To Correct: 5 Invalid Trades: 0 Successfully Corrected Trades: 0

<input checked="" type="checkbox"/> 20250315-12:00:00.000000000	<input type="checkbox"/> Qty	<input checked="" type="checkbox"/> Price 100.01	<input type="checkbox"/> Reporting Clearing Firm Number Party ID	<input type="checkbox"/> Reporting Firm Side	<input type="checkbox"/> Reporting Firm Compliance ID
<input type="checkbox"/> Reporting Firm Order ID	<input type="checkbox"/> Reporting Firm Order Capacity	<input type="checkbox"/> Contra Firm Party ID	<input type="checkbox"/> Contra Clearing Firm Number Party ID	<input type="checkbox"/> Contra Firm Side	<input type="checkbox"/> Contra Firm Party ID Role
<input type="checkbox"/> Contra Firm Compliance ID	<input type="checkbox"/> Contra Firm Order ID	<input type="checkbox"/> Contra Firm Order Capacity	<input type="checkbox"/> Trade Modifier 1	<input type="checkbox"/> Trade Modifier 2	<input type="checkbox"/> Trade Modifier 2 Time
<input type="checkbox"/> Trade Modifier 3	<input type="checkbox"/> Trade Modifier 4	<input type="checkbox"/> Trade Modifier 4 Time	<input type="checkbox"/> Reporting Obligation	<input type="checkbox"/> Price Override	<input type="checkbox"/> TT Exempt
<input type="checkbox"/> Short Sale Indicator	<input type="checkbox"/> Clearing Price	<input type="checkbox"/> Contra Clearing Firm Number Party ID Source	<input type="checkbox"/> Contra Clearing Firm Number Party Role	<input type="checkbox"/> Contra Firm Number of Party ID	<input type="checkbox"/> Contra Firm Number of Party SubIDs
<input type="checkbox"/> Contra Firm Party ID Source	<input type="checkbox"/> Contra Firm Party SubID	<input type="checkbox"/> Contra Firm Party SubID Type	<input type="checkbox"/> Contra Firm Text	<input type="checkbox"/> Contra Give-up Firm Party ID	<input type="checkbox"/> Contra Give-up Firm Party ID Source
<input type="checkbox"/> Contra Give-up Firm Party Role	<input type="checkbox"/> Fractional Share Qty	<input type="checkbox"/> Prep Time	<input type="checkbox"/> Previously Reported	<input type="checkbox"/> Price Type	<input type="checkbox"/> Related Market Center
<input type="checkbox"/> Reporting Clearing Firm Number Party ID Source	<input type="checkbox"/> Reporting Clearing Firm Number Party Role	<input type="checkbox"/> Firm Trade ID	<input type="checkbox"/> Reporting Firm Number of Party IDs	<input type="checkbox"/> Reporting Firm Number of Party SubIDs	<input type="checkbox"/> Reporting Firm Party SubID
<input type="checkbox"/> Reporting Firm Party SubID Type	<input type="checkbox"/> Reporting Firm Text	<input type="checkbox"/> Reporting Give-up Firm Party ID	<input type="checkbox"/> Reporting Give-up Firm Party ID Source	<input type="checkbox"/> Reporting Give-up Firm Party Role	<input type="checkbox"/> Sec Exec ID
<input type="checkbox"/> Sec Firm Trade ID	<input type="checkbox"/> Seller Days	<input type="checkbox"/> Settlement Date	<input type="checkbox"/> Special Process Flag	<input type="checkbox"/> Trade Report Class	

**Update** **Reset** **Submit**

#	Orig Trade ID	Trade ID	Execution Date/Time	Symbol Root	Symbol Sfx	Qty	Price	Publish Indicator	Clearing Ins
<input type="checkbox"/>	1 3000000005	3000000005	20250315-12:00:00.00000...	IBM		12	100.01	Y	Customer tra
<input type="checkbox"/>	2 3000000011	3000000011	20250314-12:30:15.6110...	IBM		20	20	Y	Customer tra
<input type="checkbox"/>	3 3000000002	3000000002	20250315-12:00:00.00000...	IBM		12	100.01	Y	Customer tra
<input type="checkbox"/>	4 3000000008	3000000008	20250315-12:00:00.00000...	IBM		20	100.01	Y	Customer tra
<input type="checkbox"/>	5 3000000002	3000000002	20250314-11:03:32.4430...	IBM		12	6	Y	Customer tra

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

- Send Corrected Trades
  - All the trades success to report

Request Submitted Successfully

Trades To Correct: 5 Invalid Trades: 0 Successfully Corrected Trades: 0

Execution Date/Time	Qty	Price	Reporting Clearing Firm Number Party ID	Reporting Firm Side	Reporting Firm Compliance ID
20250315-12:00:00.000000000	100.01				
Reporting Firm Order ID	Reporting Firm Order Capacity	Contra Firm Party ID	Contra Clearing Firm Number Party ID	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	Trade Modifier 2 Time
Trade Modifier 3	Trade Modifier 4	Trade Modifier 4 Time	Reporting Obligation	Price Override	TT Exempt
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	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 IDs	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	Trade Report Class	

**Buttons:** Update, Reset, Submit

**Table Headers:** #, Orig Trade ID, Trade ID, Execution Date/Time, Symbol Root, Symbol Sfx, Qty, Price, Publish Indicator, Clearing Ins

**Table Data:** (Empty table body)

- All the trades fail to report

System Error. Please try later.

Trades To Correct: 5 Invalid Trades: 0 Successfully Corrected Trades: 0

Execution Date/Time	Qty	Price	Reporting Clearing Firm Number Party ID	Reporting Firm Side	Reporting Firm Compliance ID
20250314-12:30:15.6110...	20	20			
Reporting Firm Order ID	Reporting Firm Order Capacity	Contra Firm Party ID	Contra Clearing Firm Number Party ID	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	Trade Modifier 2 Time
Trade Modifier 3	Trade Modifier 4	Trade Modifier 4 Time	Reporting Obligation	Price Override	TT Exempt
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	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 IDs	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	Trade Report Class	

**Buttons:** Update, Reset, Submit

**Table Headers:** #, Orig Trade ID, Trade ID, Execution Date/Time, Symbol Root, Symbol Sfx, Qty, Price, Publish Indicator, Clearing Ins

**Table Data:**

#	Orig Trade ID	Trade ID	Execution Date/Time	Symbol Root	Symbol Sfx	Qty	Price	Publish Indicator	Clearing Ins
1	3000000011	3000000011	20250314-12:30:15.6110...	IBM		20	20	Y	Customer tra...
2	3000000002	3000000002	20250314-11:03:32.4430...	IBM		12	6	Y	Customer tra...
3	3000000008	3000000008	20250314-11:45:36.2060...	IBM		20	20	Y	Customer tra...
4	3000000002	3000000002	20250314-11:03:32.4430...	IBM		12	6	Y	Customer tra...
5	3000000008	3000000008	20250314-11:45:36.2060...	IBM		20	20	Y	Customer tra...

- Part of trades fail to report

AS OF Correction Failed Validation

Trades To Correct: 5 Invalid Trades: 2 Successfully Corrected Trades: 3

<input type="checkbox"/> Execution Date/Time	<input type="checkbox"/> Qty	<input type="checkbox"/> Price	<input type="checkbox"/> Reporting Clearing Firm Number Party ID	<input type="checkbox"/> Reporting Firm Side	<input type="checkbox"/> Reporting Firm Compliance ID
<input type="checkbox"/> Reporting Firm Order ID	<input type="checkbox"/> Reporting Firm Order Capacity	<input type="checkbox"/> Contra Firm Party ID	<input type="checkbox"/> Contra Clearing Firm Number Party ID	<input type="checkbox"/> Contra Firm Side	<input type="checkbox"/> Contra Firm Party ID Role
<input type="checkbox"/> Contra Firm Compliance ID	<input type="checkbox"/> Contra Firm Order ID	<input type="checkbox"/> Contra Firm Order Capacity	<input type="checkbox"/> Trade Modifier 1	<input type="checkbox"/> Trade Modifier 2	<input type="checkbox"/> Trade Modifier 2 Time
<input type="checkbox"/> Trade Modifier 3	<input type="checkbox"/> Trade Modifier 4	<input type="checkbox"/> Trade Modifier 4 Time	<input type="checkbox"/> Reporting Obligation	<input type="checkbox"/> Price Override	<input type="checkbox"/> TT Exempt
<input type="checkbox"/> Short Sale Indicator	<input type="checkbox"/> Clearing Price	<input type="checkbox"/> Contra Clearing Firm Number Party ID Source	<input type="checkbox"/> Contra Clearing Firm Number Party Role	<input type="checkbox"/> Contra Firm Number of Party ID	<input type="checkbox"/> Contra Firm Number of Party SubIDs
<input type="checkbox"/> Contra Firm Party ID Source	<input type="checkbox"/> Contra Firm Party SubID	<input type="checkbox"/> Contra Firm Party SubID Type	<input type="checkbox"/> Contra Firm Text	<input type="checkbox"/> Contra Give-up Firm Party ID	<input type="checkbox"/> Contra Give-up Firm Party ID Source
<input type="checkbox"/> Contra Give-up Firm Party Role	<input type="checkbox"/> Fractional Share Qty	<input type="checkbox"/> Prep Time	<input type="checkbox"/> Previously Reported	<input type="checkbox"/> Price Type	<input type="checkbox"/> Related Market Center
<input type="checkbox"/> Reporting Clearing Firm Number Party ID Source	<input type="checkbox"/> Reporting Clearing Firm Number Party Role	<input type="checkbox"/> Firm Trade ID	<input type="checkbox"/> Reporting Firm Number of Party IDs	<input type="checkbox"/> Reporting Firm Number of Party SubIDs	<input type="checkbox"/> Reporting Firm Party SubID
<input type="checkbox"/> Reporting Firm Party SubID Type	<input type="checkbox"/> Reporting Firm Text	<input type="checkbox"/> Reporting Give-up Firm Party ID	<input type="checkbox"/> Reporting Give-up Firm Party ID Source	<input type="checkbox"/> Reporting Give-up Firm Party Role	<input type="checkbox"/> Sec Exec ID
<input type="checkbox"/> Sec Firm Trade ID	<input type="checkbox"/> Seller Days	<input type="checkbox"/> Settlement Date	<input type="checkbox"/> Special Process Flag	<input type="checkbox"/> Trade Report Class	

**Update** **Reset** **Submit**

<input type="checkbox"/>	#	Orig Trade ID	Trade ID	Execution Date/Time	Symbol Root	Symbol Sfx	Qty	Price	Publish Indicator	Clearing Ins
<input type="checkbox"/>	4	3000000002	3000000002	20250314-11:03:32.4430...	IBM		12	6	Y	Customer tra
<input type="checkbox"/>	5	3000000008	3000000008	20250314-11:45:36.2060...	IBM		20	20	Y	Customer tra

**Columns** **Filters**

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

AS OF Correction Failed Validation

Trades To Correct: 5 Invalid Trades: 2 Successfully Corrected Trades: 3

<input type="checkbox"/> Execution Date/Time	<input type="checkbox"/> Qty	<input type="checkbox"/> Price	<input type="checkbox"/> Reporting Clearing Firm Number Party ID	<input type="checkbox"/> Reporting Firm Side	<input type="checkbox"/> Reporting Firm Compliance ID
<input type="checkbox"/> Reporting Firm Order ID	<input type="checkbox"/> Reporting Firm Order Capacity	<input type="checkbox"/> Contra Firm Party ID	<input type="checkbox"/> Contra Clearing Firm Number Party ID	<input type="checkbox"/> Contra Firm Side	<input type="checkbox"/> Contra Firm Party ID Role
<input type="checkbox"/> Contra Firm Compliance ID	<input type="checkbox"/> Contra Firm Order ID	<input type="checkbox"/> Contra Firm Order Capacity	<input type="checkbox"/> Trade Modifier 1	<input type="checkbox"/> Trade Modifier 2	<input type="checkbox"/> Trade Modifier 2 Time
<input type="checkbox"/> Trade Modifier 3	<input type="checkbox"/> Trade Modifier 4	<input type="checkbox"/> Trade Modifier 4 Time	<input type="checkbox"/> Reporting Obligation	<input type="checkbox"/> Price Override	<input type="checkbox"/> TT Exempt
<input type="checkbox"/> Short Sale Indicator	<input type="checkbox"/> Clearing Price	<input type="checkbox"/> Contra Clearing Firm Number Party ID Source	<input type="checkbox"/> Contra Clearing Firm Number Party Role	<input type="checkbox"/> Contra Firm Number of Party ID	<input type="checkbox"/> Contra Firm Number of Party SubIDs
<input type="checkbox"/> Contra Firm Party ID Source	<input type="checkbox"/> Contra Firm Party SubID	<input type="checkbox"/> Contra Firm Party SubID Type	<input type="checkbox"/> Contra Firm Text	<input type="checkbox"/> Contra Give-up Firm Party ID	<input type="checkbox"/> Contra Give-up Firm Party ID Source
<input type="checkbox"/> Contra Give-up Firm Party Role	<input type="checkbox"/> Fractional Share Qty	<input type="checkbox"/> Prep Time	<input type="checkbox"/> Previously Reported	<input type="checkbox"/> Price Type	<input type="checkbox"/> Related Market Center
<input type="checkbox"/> Reporting Clearing Firm Number Party ID Source	<input type="checkbox"/> Reporting Clearing Firm Number Party Role	<input type="checkbox"/> Firm Trade ID	<input type="checkbox"/> Reporting Firm Number of Party IDs	<input type="checkbox"/> Reporting Firm Number of Party SubIDs	<input type="checkbox"/> Reporting Firm Party SubID
<input type="checkbox"/> Reporting Firm Party SubID Type	<input type="checkbox"/> Reporting Firm Text	<input type="checkbox"/> Reporting Give-up Firm Party ID	<input type="checkbox"/> Reporting Give-up Firm Party ID Source	<input type="checkbox"/> Reporting Give-up Firm Party Role	<input type="checkbox"/> Sec Exec ID
<input type="checkbox"/> Sec Firm Trade ID	<input type="checkbox"/> Seller Days	<input type="checkbox"/> Settlement Date	<input type="checkbox"/> Special Process Flag	<input type="checkbox"/> Trade Report Class	

**Update** **Reset** **Submit**

<input type="checkbox"/>	#	Orig Trade ID	Trade ID	Execution Date/Time	Symbol Root	Symbol Sfx	Qty	Price	Publish Indicator	Clearing Ins
<input type="checkbox"/>	4	3000000002	3000000002	20250314-11:03:32.4430...	IBM		12	6	Y	Customer tra
<input type="checkbox"/>	5	3000000008	3000000008	20250314-11:45:36.2060...	IBM		20	20	Y	Customer tra

**Columns** **Filters**

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

**AS OF Correction Failed Validation**

Trades To Correct: 5 Invalid Trades: 2 Successfully Corrected Trades: 3

<input type="checkbox"/> Execution Date/Time	<input type="checkbox"/> Qty	<input type="checkbox"/> Price	<input type="checkbox"/> Reporting Clearing Firm Number Party ID	<input type="checkbox"/> Reporting Firm Side	<input type="checkbox"/> Reporting Firm Compliance ID
<input type="checkbox"/> Reporting Firm Order ID	<input type="checkbox"/> Reporting Firm Order Capacity	<input type="checkbox"/> Contra Firm Party ID	<input type="checkbox"/> Contra Clearing Firm Number Party ID	<input type="checkbox"/> Contra Firm Side	<input type="checkbox"/> Contra Firm Party ID Role
<input type="checkbox"/> Contra Firm Compliance ID	<input type="checkbox"/> Contra Firm Order ID	<input type="checkbox"/> Contra Firm Order Capacity	<input type="checkbox"/> Trade Modifier 1	<input type="checkbox"/> Trade Modifier 2	<input type="checkbox"/> Trade Modifier 2 Time
<input type="checkbox"/> Trade Modifier 3	<input type="checkbox"/> Trade Modifier 4	<input type="checkbox"/> Trade Modifier 4 Time	<input type="checkbox"/> Reporting Obligation	<input type="checkbox"/> Price Override	<input type="checkbox"/> TT Exempt
<input type="checkbox"/> Short Sale Indicator	<input type="checkbox"/> Clearing Price	<input type="checkbox"/> Contra Clearing Firm Number Party ID Source	<input type="checkbox"/> Contra Clearing Firm Number Party Role	<input type="checkbox"/> Contra Firm Number of Party ID	<input type="checkbox"/> Contra Firm Number of Party SubID
<input type="checkbox"/> Contra Firm Party ID Source	<input type="checkbox"/> Contra Firm Party SubID	<input type="checkbox"/> Contra Firm Party SubID Type	<input type="checkbox"/> Contra Firm Text	<input type="checkbox"/> Contra Give-up Firm Party ID	<input type="checkbox"/> Contra Give-up Firm Party ID Source
<input type="checkbox"/> Contra Give-up Firm Party Role	<input type="checkbox"/> Fractional Share Qty	<input type="checkbox"/> Prep Time	<input type="checkbox"/> Previously Reported	<input type="checkbox"/> Price Type	<input type="checkbox"/> Related Market Center
<input type="checkbox"/> Reporting Clearing Firm Number Party ID Source	<input type="checkbox"/> Reporting Clearing Firm Number Party Role	<input type="checkbox"/> Firm Trade ID	<input type="checkbox"/> Reporting Firm Number of Party IDs	<input type="checkbox"/> Reporting Firm Number of Party SubIDs	<input type="checkbox"/> Reporting Firm Party SubID
<input type="checkbox"/> Reporting Firm Party SubID Type	<input type="checkbox"/> Reporting Firm Text	<input type="checkbox"/> Reporting Give-up Firm Party ID	<input type="checkbox"/> Reporting Give-up Firm Party ID Source	<input type="checkbox"/> Reporting Give-up Firm Party Role	<input type="checkbox"/> Sec Exec ID
<input type="checkbox"/> Sec Firm Trade ID	<input type="checkbox"/> Seller Days	<input type="checkbox"/> Settlement Date	<input type="checkbox"/> Special Process Flag	<input type="checkbox"/> Trade Report Class	

**Update** **Reset** **Submit**

1. [PARTICIPANT\_VALIDATION] Invalid Reporting Clearing

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

\*Firms can select or multiple trade reports to modify

## 4.2 Rejected Trades Tab

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

TRADE MANAGEMENT

TRADE REPORTS

Rejected Trades

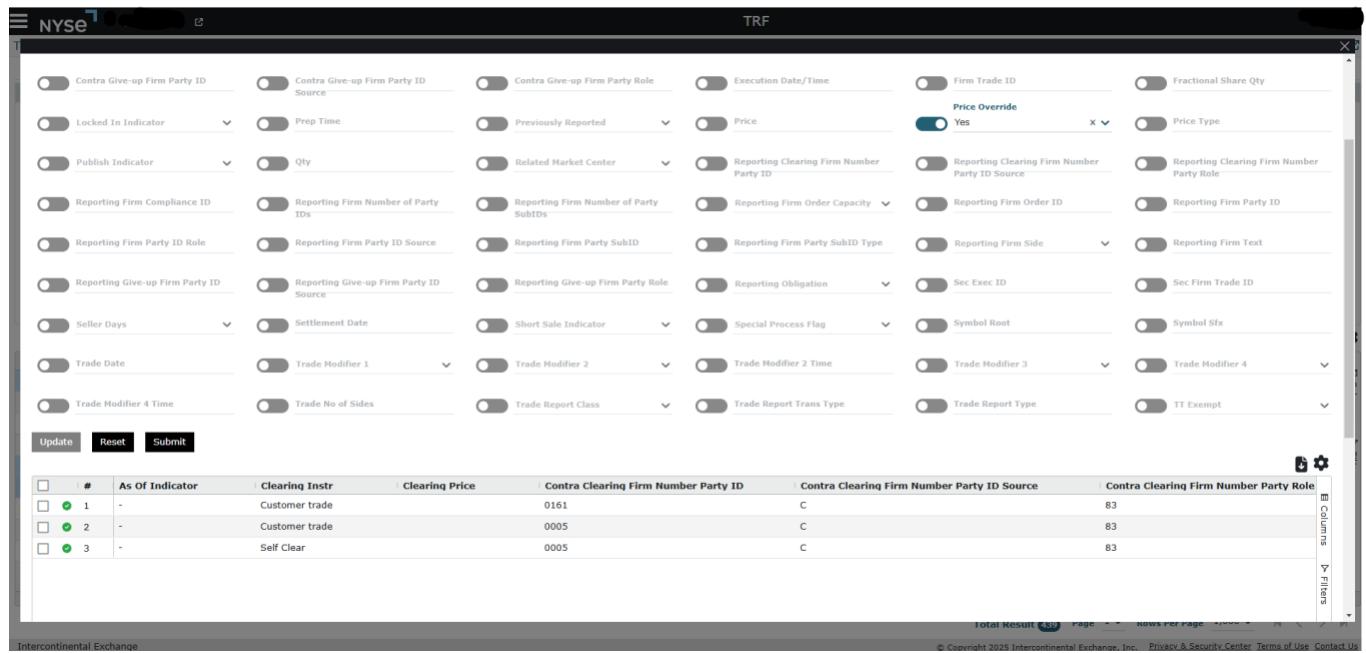
Status	Reject Reason	Trade ID	Execution Date/Time	Report Time	Symbol Root	Symbol Sfx	Qty	Price	Publish Indicator	As Of Indicator	Clearing 1
<input checked="" type="checkbox"/> TREJ - Rejected	R081:Price_Too_Far_Outside	3000000005	2025-03-18 11:17:08.428785000	11:17:08.429387531	SPY		100	0.000252	Y - Publish		12 - Cut
<input type="checkbox"/> TREJ - Rejected	R707:Original_Trade_Not_Found	3000000267	2025-03-18 11:17:13.428793000	11:17:44.553594800	IBM		100	0.000252	Y - Publish		12 - Cut
<input type="checkbox"/> GTRJ - Rejected	R700:Invalid_TRF_Tag:22003	3000000027	2025-03-18 11:17:23.428772000	11:17:23.430312875	SPY		6650	0.000252	Y - Publish		98 - QSI
<input type="checkbox"/> TREJ - Rejected	R081:Price_Too_Far_Outside	3000000038	2025-03-18 11:17:24.428764000	11:17:24.42946179	SPY		100	0.000254	Y - Publish		98 - QSI
<input checked="" type="checkbox"/> TREJ - Rejected	R081:Price_Too_Far_Outside	3000000047	2025-03-18 11:17:16.428785000	11:17:16.429406623	IBM		100	0.000254	Y - Publish		12 - Cut
<input checked="" type="checkbox"/> TREJ - Rejected	R081:Price_Too_Far_Outside	3000000049	2025-03-18 11:17:25.428763000	11:17:25.429450230	SPY		2087	0.000256	Y - Publish		13 - Sel
<input type="checkbox"/> TREJ - Rejected	R081:Price_Too_Far_Outside	3000000082	2025-03-18 11:17:53.428719000	11:17:53.429548800	SPY		100	0.00025	Y - Publish		13 - Sel

Total Rows: 439

Total Result: 439 Page: 1 Rows Per Page: 1,000

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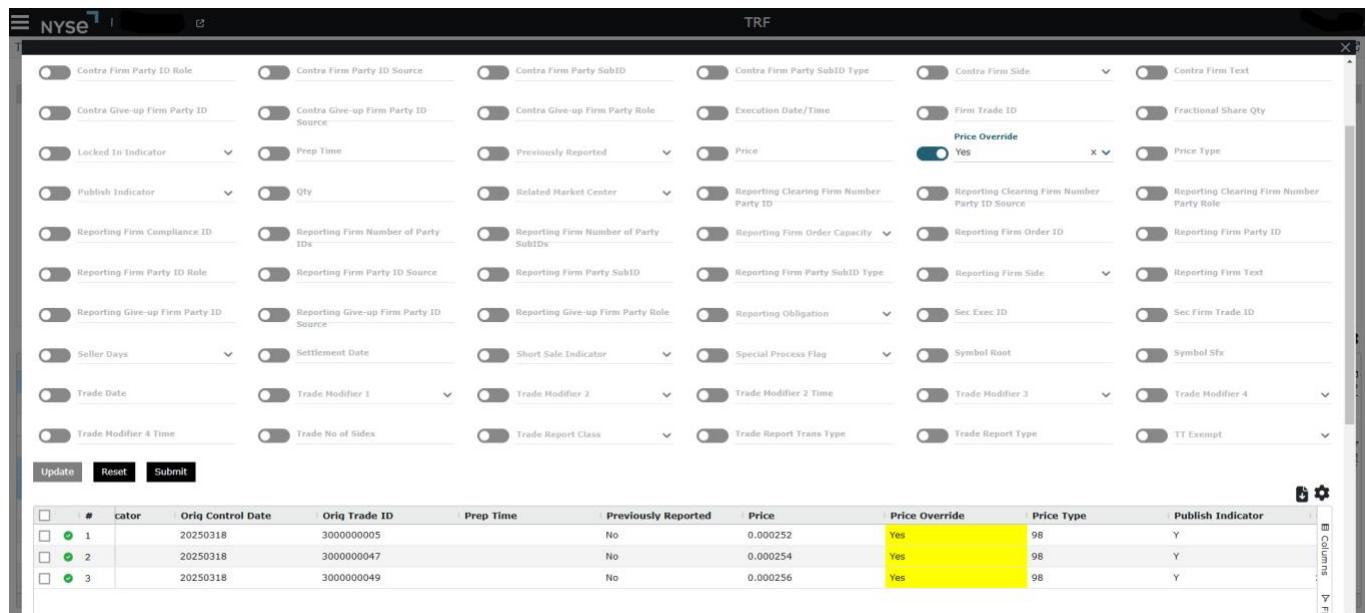
- After selecting Resubmit, a window will populate to allow user to select which field to correct/update before Resubmitting. In this example, the user is setting the Price Override Flag to Yes on three trade reports.



The screenshot shows the NYSE TRF interface. At the top, there is a configuration window for 'Price Override' with several checkboxes. Below this is a table of trade reports with columns for 'As Of Indicator', 'Clearing Instr', 'Clearing Price', 'Contra Clearing Firm Number Party ID', 'Contra Clearing Firm Number Party ID Source', and 'Contra Clearing Firm Number Party Role'. The table data is as follows:

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
1	Customer trade	0161	C	83	
2	Customer trade	0005	C	83	
3	Self Clear	0005	C	83	

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



The screenshot shows the NYSE TRF interface. At the top, there is a configuration window for 'Price Override' with several checkboxes. Below this is a table of trade reports with columns for 'As Of Indicator', 'Clearing Instr', 'Clearing Price', 'Contra Clearing Firm Number Party ID', 'Contra Clearing Firm Number Party ID Source', and 'Contra Clearing Firm Number Party Role'. The table data is as follows:

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
1	Customer trade	0161	C	83	
2	Customer trade	0005	C	83	
3	Self Clear	0005	C	83	

- 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

TRADE MANAGEMENT											
Trades		Rejected Trades		Transactions		Transactions History					
Search											
	Action	State	Status	Trade ID	Execution Date/Time	Report Time	Symbol	Qty	Price	Created By	Created Time
	CANCEL	CURRENT	TCRK - Corrected	4000003028	2025-03-16 11:22:43.428...	11:24:47.650195348	AAPL	100	0.000254	PILLAR	2025-03-18T11:27:35.1
	CANCEL	TARGET	TCRK - Corrected	4000003028	2025-03-16 11:22:43.428...	11:24:47.650195348	AAPL	100	0.000254	PILLAR	2025-03-18T11:27:35.1
	CORRECT	CURRENT	TRAK - Accepted	4000003050	2025-03-18 11:24:49.428...	11:24:49.429993428	AAPL	100	0.00025	PILLAR	2025-03-18T11:27:37.1
	CORRECT	TARGET	TCRK - Corrected	4000004117	2025-03-18 11:24:49.428...	11:27:37.714801431	AAPL	100	0.00025	PILLAR	2025-03-18T11:27:37.1
	CORRECT	CURRENT	TRAK - Accepted	4000003094	2025-03-16 11:24:53.428...	11:24:53.479383169	AAPL	100	0.000252	PILLAR	2025-03-18T11:27:39.1
	CORRECT	TARGET	TCRK - Corrected	4000004139	2025-03-16 11:24:53.428...	11:27:39.646843814	AAPL	100	0.000252	PILLAR	2025-03-18T11:27:39.1
	CANCEL	CURRENT	TCRK - Corrected	4000003127	2023-03-16 11:22:46.428...	11:24:57.655640437	AAPL	100	0.000256	PILLAR	2025-03-18T11:27:40.1
	CANCEL	TARGET	TCAK - Cancelled	4000003127	2023-03-16 11:22:46.428...	11:27:40.621890164	AAPL	100	0.000256	PILLAR	2025-03-18T11:27:40.1
	CORRECT	CURRENT	TCRK - Corrected	3000003248	2025-03-16 11:20:11.428...	11:25:23.641703116	IBM	100	0.000252	PILLAR	2025-03-18T11:28:01.1
	CORRECT	TARGET	TCRK - Corrected	3000004271	2025-03-16 11:20:11.428...	11:28:01.642825242	IBM	100	0.000252	PILLAR	2025-03-18T11:28:01.1
	CANCEL	CURRENT	TRAK - Accepted	3000003270	2025-03-18 11:25:25.428...	11:25:25.429995762	IBM	100	0.000252	PILLAR	2025-03-18T11:28:05.1
	CANCEL	TARGET	TCAK - Cancelled	3000003270	2025-03-18 11:25:25.428...	11:28:05.620044947	IBM	100	0.000252	PILLAR	2025-03-18T11:28:05.1
	CORRECT	CURRENT	TRAK - Accepted	3000015178	2023-03-16 11:25:32.428...	11:25:32.4300001041	SPY	100	0.000254	PILLAR	2025-03-18T11:28:10.1
	CORRECT	TARGET	TCRK - Corrected	3000001996	2023-03-16 11:25:32.428...	11:28:10.644233867	SPY	100	0.000254	PILLAR	2025-03-18T11:28:10.1
	CANCEL	CURRENT	TCRK - Corrected	3000003336	2025-03-18 11:23:19.428...	11:25:38.707466485	IBM	100	0.00025	PILLAR	2025-03-18T11:28:18.1
	CANCEL	TARGET	TCAK - Cancelled	3000003336	2025-03-18 11:23:19.428...	11:28:18.620567532	IBM	100	0.00025	PILLAR	2025-03-18T11:28:18.1
	CANCEL	TARGET		4000002610				0	0	PILLAR	2025-03-18T11:28:31.1
	CORRECT	CURRENT	TRAK - Accepted	4000003479	2025-03-16 11:25:57.428...	11:25:57.480225797	AAPL	100	0.000248	PILLAR	2025-03-18T11:28:36.1
	CORRECT	TARGET	TCRK - Corrected	4000004557	2025-03-16 11:25:57.428...	11:28:36.641365770	AAPL	100	0.000248	PILLAR	2025-03-18T11:28:36.1

## 4.4 Transactions History Tab

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

NYSE TRADE MANAGEMENT												
TRF												
Transactions History												
Action	Created By	Created Time	State	Status	Trade ID	Execution Date/Time	Report Time	Symbol	Qty	Price	As Of Indicator	Clearing Instr
REVERSE	blobin	2025-03-14T10:02:24.246793	CURRENT	TRAK - Accepted	3000000014	2025-03-13 09:40:01.596161000	09:40:01.595162441	IBM	5739	0.000246	1 = true - trade is an As...	98 - QSR no Clear
REVERSE	blobin	2025-03-14T10:02:24.246947	TARGET			2025-03-13 09:40:01.596161000			5739	0.000246	1 = true - trade is an As...	98 - QSR no Clear
REVERSE	blobin	2025-03-14T10:02:24.246793	CURRENT	TRAK - Accepted	3000000014	2025-03-13 09:40:01.596161000	09:40:01.595162441	IBM	5739	0.000246	1 = true - trade is an As...	98 - QSR no Clear
REVERSE	blobin	2025-03-14T10:02:24.246947	TARGET			2025-03-13 09:40:01.596161000			5739	0.000246	1 = true - trade is an As...	98 - QSR no Clear
REVERSE	blobin	2025-03-14T10:02:24.246947	TARGET	TRVK - Reversed	3000010057	2025-03-13 09:40:01.596161000	10:02:24.377086947	IBM	5739	0.000246	1 = true - trade is an As...	98 - QSR no Clear
REVERSE	blobin	2025-03-14T10:02:24.246793	CURRENT	TRAK - Accepted	3000000014	2025-03-13 09:40:01.596161000	09:40:01.595162441	IBM	5739	0.000246	1 = true - trade is an As...	98 - QSR no Clear
REVERSE	blobin	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	blobin	2025-03-14T10:02:24.246793	CURRENT	TRAK - Accepted	3000000014	2025-03-13 09:40:01.596161000	09:40:01.595162441	IBM	5739	0.000246	1 = true - trade is an As...	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			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	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	2025-03-14T10:45:15.858852	TARGET	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

## 4.5 Overview Tab

- The Overview Tab provides firms a view into report counts for NYSE Accepted and Rejected along with FINRA Accepted and Rejected reports. This page dynamically updates every two minutes.
  - The top half of the page show total counts on the day. The number of Rejects represents total Rejects incurred that day but does not reduce the count when repaired and resubmitted. This Reject count does not represent the “current” count. To check how many current Rejects a firm has, check the Rejected Trades tab.

NYSE | PRISM TRF

TRADE MANAGEMENT

Trades Rejected Trades Transactions Transactions History Overview

Firms NYSE Arca Pillar Test Firm (999999999) MPIDs 8XBX Date 12/10/2025

NYSE	FINRA
Accepted 500	Accepted 500
Rejected 1,000	Rejected 0

Last Updated: 12/10/2025 11:50:30 Last Updated: 12/10/2025 11:50:30

Accepts vs Rejects Time-Series Trend

MPIDs ALL

Records

Time

Legend: NYSE Accepts (Blue), NYSE Rejects (Red), FINRA Accepts (Blue), FINRA Rejects (Red), Total (Black)

- The bottom half of the page details Reject Reason and provides more information in different graph type

Trade Counts and Rejects							Last Updated: 12/10/2025 11:52:15	
MPID	As-Of	Time	Total	NYSE		FINRA		
				Accepted	Rejected	Accepted	Rejected	
> 8XBX	Y		0	0	0	0	0	
✓ 8XBX	N	12/10/2025 11:44:38	1,500	500	1,000	500	0	
Reject Reason			Source	Event Type	Count			
R700:Invalid_TRF_Tag:22030			NYSE	TREJ	500			
R708:Invalid_Price_LULD			NYSE	TREJ	500			
<b>Total</b>			<b>1,500</b>	<b>500</b>	<b>1,000</b>	<b>500</b>	<b>0</b>	<b>0</b>

## 5. Firm Information

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

## 5.1 Firm Relationship Table

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

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

## 5.1 Firm Information

- Details firm's information

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

## 6. Metrics

Metrics tab contains multiple reports detailing firms' activity

### 6.1 Activity Report

This report details Total Trade Report Counts and Volume for Regular, Cancels, Corrections and Reversals.

### 6.2 Firm Capacity

This report details Total Trade Report Counts and Volume by both Reporting Firm and Contra Firm Capacity

### 6.3 MPID Message Count

This report details Total Messages received, accepted and rejected by both NYSE TRF and FINRA

## SIP DATA DASHBOARD

 SIP Data HALT SIP Data LULD SIP Data SSR

Symbol	Control Date	Start Time	End Time
AA	12/10/2025	09:30:00	16:00:00

Search

Symbol	LULD Time	LU/LD Event Type	Lo Band	Hi Band
AA	12/10/2025 08:35:00	LULD	43.17	47.71
AA	12/10/2025 08:35:30	LULD	43.17	47.71
AA	12/10/2025 08:35:30	LULD	44.40	49.07
AA	12/10/2025 08:36:00	LULD	44.40	49.07
AA	12/10/2025 08:36:30	LULD	44.40	49.07
AA	12/10/2025 08:37:00	LULD	44.40	49.07
AA	12/10/2025 08:37:30	LULD	44.40	49.07
AA	12/10/2025 08:38:00	LULD	44.40	49.07
AA	12/10/2025 08:38:30	LULD	44.40	49.07
AA	12/10/2025 08:39:00	LULD	44.40	49.07
AA	12/10/2025 08:39:30	LULD	44.40	49.07
AA	12/10/2025 08:40:00	LULD	44.40	49.07
AA	12/10/2025 08:40:30	LULD	44.40	49.07
AA	12/10/2025 08:41:00	LULD	44.40	49.07
AA	12/10/2025 08:41:30	LULD	44.40	49.07
AA	12/10/2025 08:42:00	LULD	44.40	49.07
AA	12/10/2025 08:42:30	LULD	44.40	49.07
AA	12/10/2025 08:43:00	LULD	44.40	49.07
AA	12/10/2025 08:43:30	LULD	44.40	49.07
AA	12/10/2025 08:44:00	LULD	44.40	49.07

- SIP Data SSR

## SIP DATA DASHBOARD

 SIP Data HALT SIP Data LULD SIP Data SSR

 Symbol **Control Date** 12/10/2025

Search

Symbol	SSR Activation Time	SSR Continuation Time	SSR Deactivation Time
AAP		12/09/2025 23:19:38	
AAP		12/10/2025 00:30:02	
ACHC			12/10/2025 02:58:00
ADM		12/09/2025 23:19:38	
ADM		12/10/2025 00:30:02	
AEG	12/10/2025 09:45:08		
AGX			12/10/2025 00:30:02
AMRN			12/10/2025 02:58:00
APD		12/09/2025 23:19:38	
APD		12/10/2025 00:30:01	
ASPS		12/10/2025 02:58:00	
ASTI			12/10/2025 02:58:00
AVAV	12/10/2025 08:55:40		
AVX		12/09/2025 23:19:38	
BOIL		12/09/2025 23:19:38	
BOIL		12/10/2025 00:30:02	
CASI		12/09/2025 23:19:38	
CASI		12/10/2025 02:58:00	
CE			12/10/2025 00:30:01
CHA		12/09/2025 23:19:38	

## 6.5 Total Trades Count

This report details Possible Trade Throughs, Possible SSR Violations and LULD Rejects



## 6.6 Trade Modifiers

This report details counts and volumes by Trade Modifiers

## Appendix A: Document Version History

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