



FINRA/NYSE TRF[®] Portal User Manual

May 23, 2025

Document Version 1.0

Table of Contents

1. Introduction	3
2. TRF Portal Login Procedure	3
3. General Application.....	3
3.1 Grids	5
3.2 Exporting to Excel	6
3.3 Sorting	6
3.4 Filtering.....	6
3.5 Column Reordering	8
3.6 Saving and Loading Grid Configurations	9
4. Trade Report Management.....	10
4.1 Trades	10
4.1.2 Bust (Cancel T-Date/Reverse T+N).....	22
4.1.3. Trade Report Update	25
4.2 Rejected Trades Tab.....	35
4.3 Transactions Tab	37
4.4 Transactions History Tab	37
5. Firm Information	38
5.1 Firm Relationship Table	39
5.1 Firm Information	39
Appendix A: Document Version History.....	42

© NYSE Group, Inc. 2026 All rights reserved. This document contains information, which is confidential and of value to NYSE Group, Inc. It may be used only for the agreed purpose for which it has been provided. All proprietary rights and interest in this document and the information contained herein shall be vested in NYSE Group, Inc. and all other rights including, but without limitation, patent, registered design, copyright, trademark, service mark, connected with this publication shall also be vested in NYSE Group, Inc. No part of this document may be redistributed or reproduced in any form or by any means or used to make any derivative work (such as translation, transformation, or adaptation) without written permission from NYSE Group, Inc. For more information regarding registered trademarks owned by Intercontinental Exchange, Inc. and/or its affiliated companies see www.intercontinentalexchange.com/terms-of-use.

© NYSE Group, Inc. 2026 All rights reserved. NYSE is a registered trademark and marques déposée of NYSE Group, Inc., a subsidiary of Intercontinental Exchange, Inc., registered in the United States, Argentina, Australia, Brazil, Canada, Chili, China, Peoples Republic of, Colombia, Czech Republic, European Union, Hong Kong, Hungary, India, Israel, Japan, Mexico, Norway, New Zealand, Philippines, Poland, Russian Federation, Singapore, South Africa, South Korea, Switzerland, Taiwan, Turkey, Venezuela. NYSE (& Design) is a registered trademark and marques déposée of NYSE Group, Inc., a subsidiary of Intercontinental Exchange, Inc., registered in the United States, Australia, Canada, European Union, Hong Kong, Israel, Japan, South Korea, Norway, Russian Federation, Singapore, Turkey, Argentina, Bermuda, Switzerland, Colombia, Cayman Islands, New Zealand and Taiwan.

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

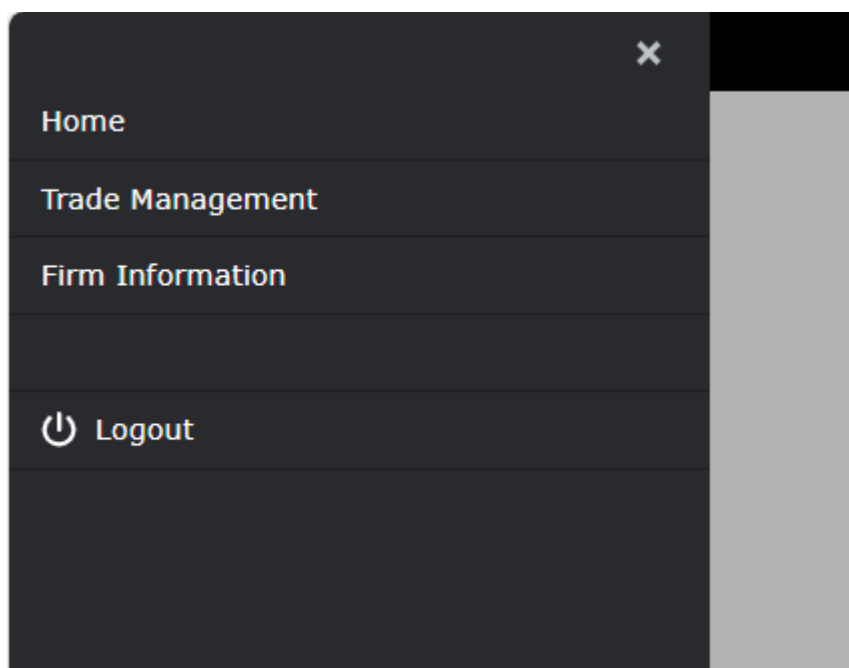
Please follow the link below to navigate the procedure to be followed for TRF Portal login setup.

https://www.nyse.com/publicdocs/nyse/FINRA_NYSE_TRF_Portal_Login_Procedure.pdf

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:

NYSE

TRF

TRADE MANAGEMENT

Trades

Rejected Trades

Transactions

Transactions History

Search

Execution Date

03/18/2025

To

Control Date

03/18/2025

Orig Control Date

03/18/2025

Report Time

00:00:00.000000 To 23:59:59.999999

Contra Clearing Firm Party ID

Contra Firm Compliance ID

Contra Firm Party ID

Contra Firm Side

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

Search

Detail

Add

Bust

Update

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"/>	TRAK - Accepted	Pending	3000000377	2025-03-18 11:17:58.428704000	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

Intercontinental Exchange

© Copyright 2025 Intercontinental Exchange, Inc. [Privacy & Security Center](#) [Terms of Use](#) [Contact Us](#)

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

Intra Firm Compliance ID

Contra Firm Party ID

NRA Trade ID

From

Fractional Share Qty

To

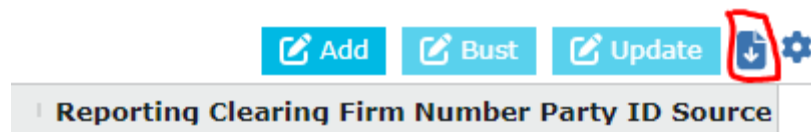
Fractional Share Qty

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.

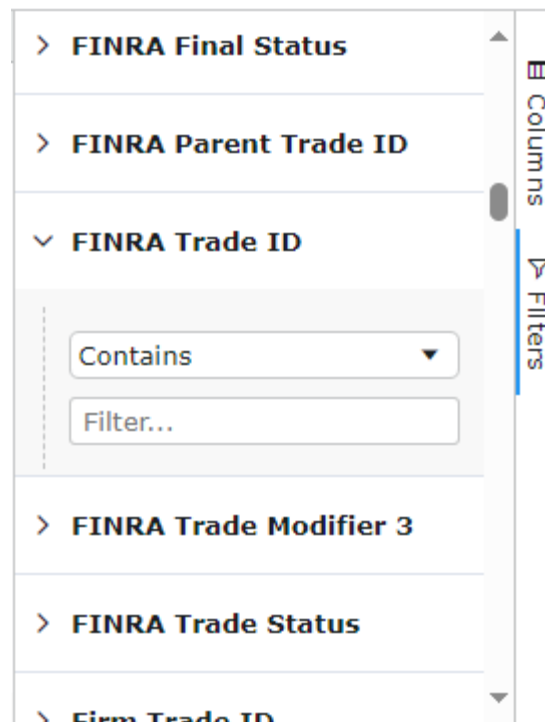
3.3 Sorting

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
09:15:33.925267156	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)

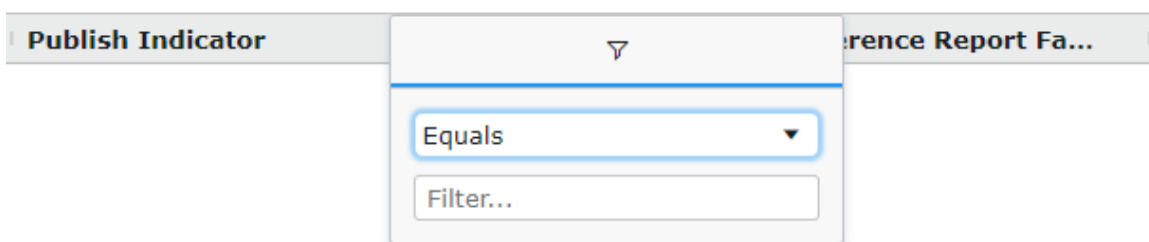
3.4 Filtering

Filtering grids can be accomplished two different ways:

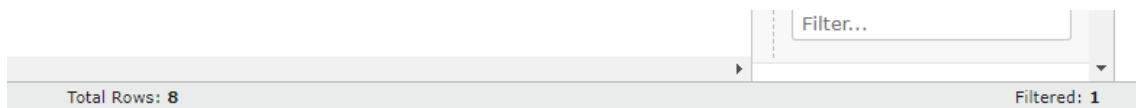


First by clicking the “Filters” button on the right side of any grid. This will open a panel that will display all columns. You can filter as many columns as you like.

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.



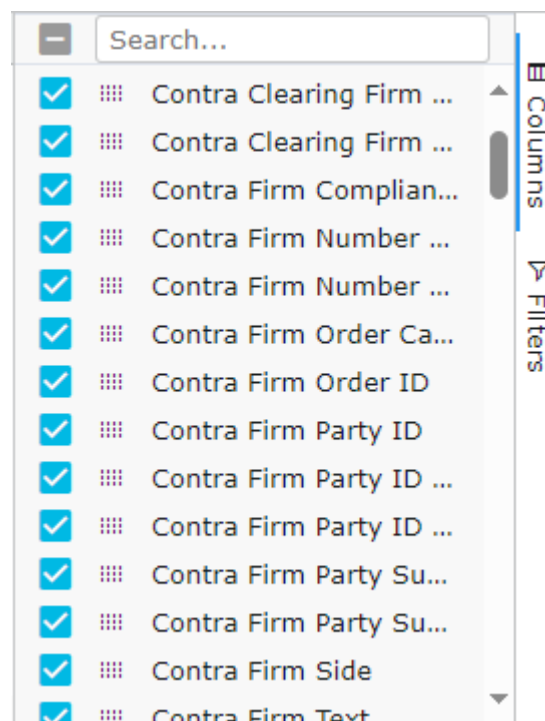
Each column can have two filter values, and the filter can be set to require both (AND) or either (OR). The criteria can be Equals, Does not equal, Greater than, Greater than or equal to, Less than, Between, Blank or Not blank.



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.

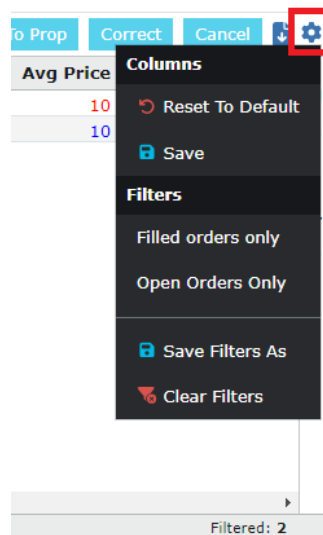
3.5 Column Reordering

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.

Filter

Filter Name

Tape Eligible Only

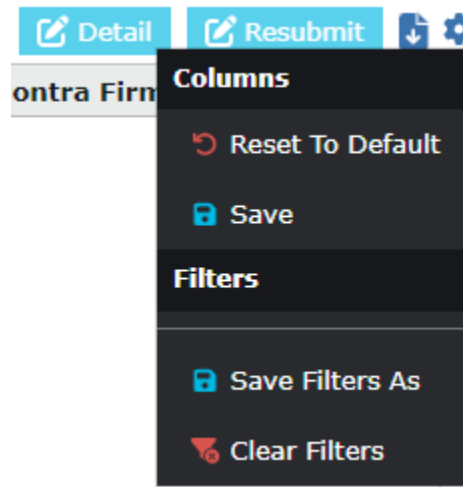
Default

☐

×

Submit

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 TRF

TRADE MANAGEMENT

Trades Rejected Trades Transactions Transactions History

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

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: _____ 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

Status	Trade Report Type	Trade ID	Execution Date/Time	Report Time	Symbol	Qty	Price	Publish Indicator	As
<input type="checkbox"/> TRAK - Accepted	0 - Submit	3000000026	2025-02-19 09:15:08.924	09:15:08.925161809	DGL	100	996.973184	Y - Publish	
<input type="checkbox"/> TREJ - Rejected	0 - Submit	3000000050	2025-02-19 09:15:11.924	09:15:11.925148619	SBH	100	973.029424	Y - Publish	
<input type="checkbox"/> GTRJ - Rejected	0 - Submit	3000000090	2025-02-19 09:15:16.924	09:15:16.925147670	VIG	6922	970.320696	Y - Publish	
<input type="checkbox"/> TCAK - Cancelled	0 - Submit	3000000194	2025-02-19 09:15:29.924	09:15:29.925149523	RISE	100	1016.9807	Y - Publish	
<input type="checkbox"/> FRJ	6 - Cancel	3000000202	2025-02-19 09:15:30.924	09:16:42.045068989	TCK	5397	1005.846368	Y - Publish	
<input type="checkbox"/> TCAK - Cancelled	0 - Submit	3000000202	2025-02-19 09:15:30.924	09:15:30.926420228	TCK	5397	1005.846368	Y - Publish	
<input type="checkbox"/> FRJ	0 - Submit	3000000202	2025-02-19 09:15:30.924	09:15:30.926420228	TCK	5397	1005.846368	Y - Publish	
<input type="checkbox"/> GTRJ - Rejected	0 - Submit	3000000218	2025-02-19 09:15:32.924	09:15:32.925267156	DK	100	1017.758552	Y - Publish	
<input type="checkbox"/> TCRK - Corrected	5 - Correction	3000000754	2025-02-19 09:15:35.924	09:16:47.101841202	EWJ	100	966.640222	Y - Publish	
<input type="checkbox"/> 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 Results: 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

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

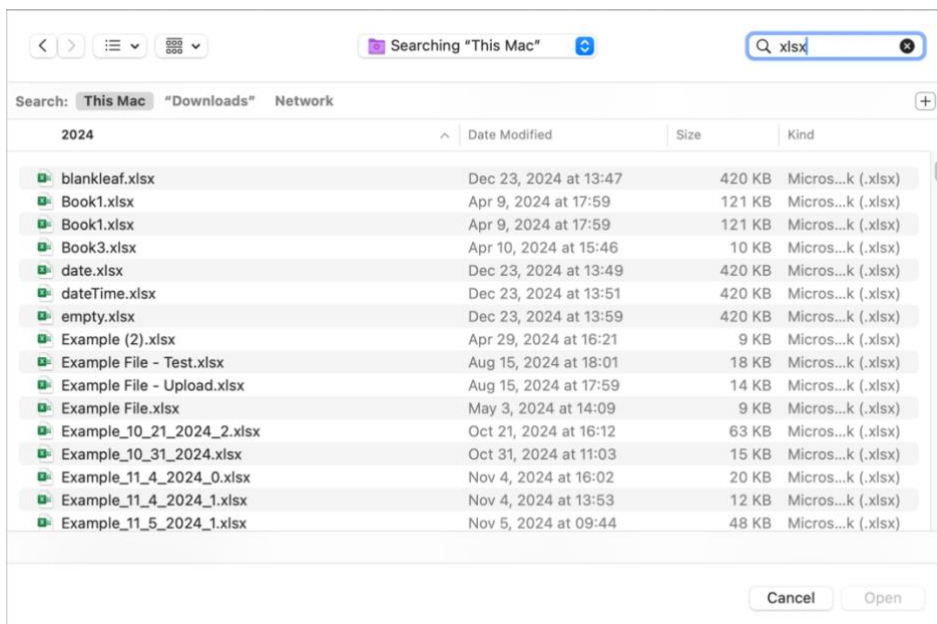
Reset Submit

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

- Upload the file

- Click the icon

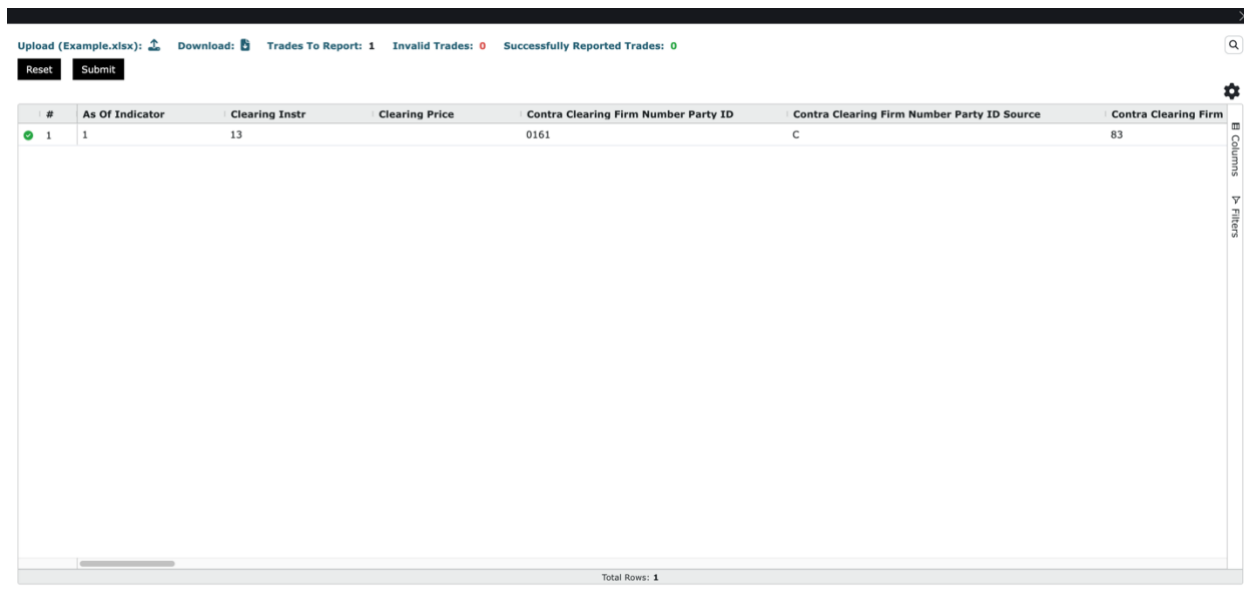
- Select the file to upload
 - xlsx and xls files are supported to upload.



- 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

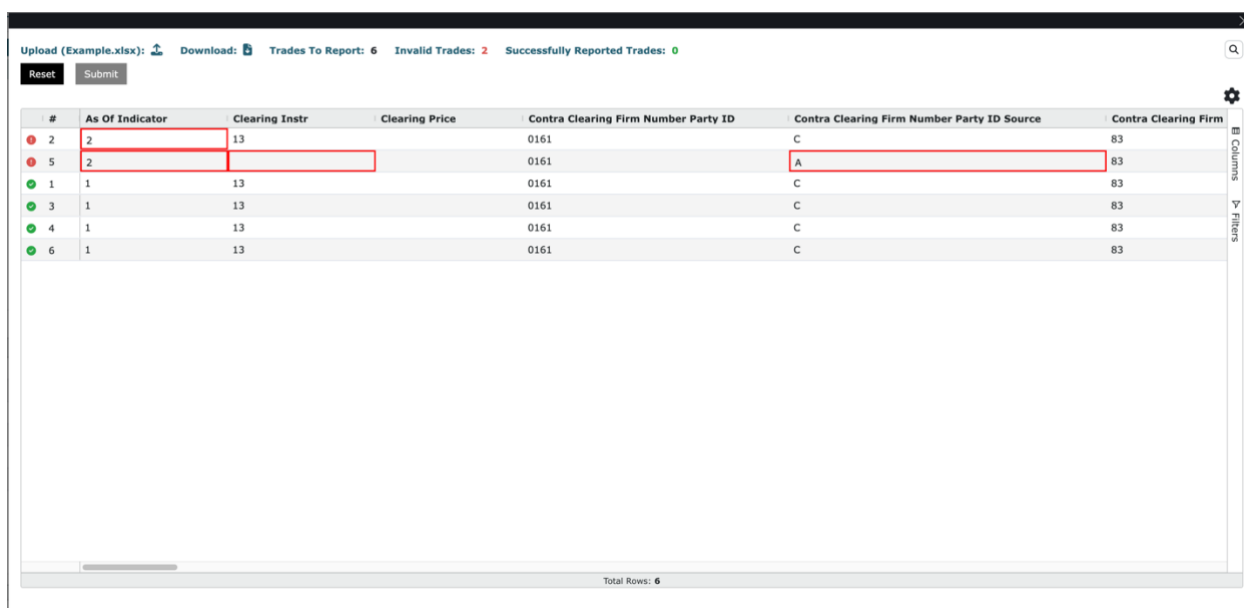
Reset Submit

#	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
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

1. As Of Indicator: 0, 1

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

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

- 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

#	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

Selected: 1 Total Rows: 6

- 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

#	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	100.1	0161	C	83
4	1	13	200.2	0161	C	83
6	1	13		0161	C	83

Total Rows: 6

- 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

#	Fractional Share Qty	Locked In Indicator	Prep Time	Previously Reported	Price	Price Override	Price Type	Publish
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

#	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

Total Rows: 6

- 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: **2/6 actions failed, please check failed results**
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

- 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

#	Firm Party ID	Contra Give-up Firm Party ID Source	Contra Give-up Firm Party Role	Execution Date/Time	Firm Trade ID	Fractional Share Qty	Locked In Indicate
4				20250128-01:45:30.0000...	00001928b6b572e44		
5				20250128-01:45:30.0000...	00001928b6b572e44		

Total Rows: 2

- 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

#	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

- 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

#	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

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

Trades Rejected Trades Transactions Transactions History

Search

Add Bust Update

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 checked="" type="checkbox"/> false - trade is not an As-Of trade (default)	11 - QSR Clear	0	0161	C	83 - Clearing Firm Number		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		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		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		83 - Clearing Firm Number		CBSN000009	2
<input type="checkbox"/> false - trade is not an As-Of trade (default)	11 - QSR Clear	0	0161	C	83 - Clearing Firm Number		83 - Clearing Firm Number		CBSN000009	2
<input type="checkbox"/> false - trade is not an As-Of trade (default)	11 - QSR Clear	0	0161	C	83 - Clearing Firm Number		83 - Clearing Firm Number		CBSN000009	2
<input type="checkbox"/> false - trade is not an As-Of trade (default)	98 - QSR no Clear	0	0161	C	83 - Clearing Firm Number		83 - Clearing Firm Number		CBSN000009	2

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

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

Firm Trade ID

Update Reset Submit

#	Firm Trade ID	Orig Control Date	Orig Trade ID	Reporting Firm Order ID
1	62272404-15	20250311	3000000011	0
2	62272406-15	20250311	3000000020	0
3	62272407-17	20250311	3000000032	0
4	62272408-17	20250311	3000000044	0

Total Items: 4

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

☒ TEST ☐ Reporting Firm Order ID

Update Reset Submit

<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

<input type="checkbox"/>	#	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

☒ TEST ☐ Reporting Firm Order ID

Update Reset Submit

<input type="checkbox"/>	#	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

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

Firm Trade ID

☒ TEST ☐ Reporting Firm Order ID

Update Reset Submit

<input type="checkbox"/>	#	Firm Trade ID	Orig Control Date	Orig Trade ID	Reporting Firm Order ID
--------------------------	---	---------------	-------------------	---------------	-------------------------

- (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

Columns Filters

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	

Add Bust Update

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

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

Columns Filters

Clearing Instr	Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Source	Contra Clearing Firm Number Party Role	Contra Firm Compliance ID	Contra Firm Number of Party ID
1 QSR no clear	161	C	83	11-QSR-CLR-sef	2
2 QSR clear	0161	C	83	CBSN000009	2
3 QSR clear	0161	C	83	CBSN000009	2
4 QSR clear	0235	C	83	CBSN000009	2
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

Columns Filters

Clearing Instr	Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Source	Contra Clearing Firm Number Party Role	Contra Firm Compliance ID	Contra Firm Number of Party ID
1 QSR no clear	161	C	83	11-QSR-CLR-sef	2
2 QSR clear	0161	C	83	CBSN000009	2
3 QSR clear	0161	C	83	CBSN000009	2
4 QSR clear	0235	C	83	CBSN000009	2
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

Columns Filters

Clearing Instr	Contra Clearing Firm Number Party ID	Contra Clearing Firm Number Party ID Source	Contra Clearing Firm Number Party Role	Contra Firm Compliance ID	Contra Firm Number of Party ID
1 QSR no clear	161	C	83	11-QSR-CLR-sef	2
2 QSR clear	0161	C	83	CBSN000009	2
3 QSR clear	0161	C	83	CBSN000009	2
4 QSR clear	0235	C	83	CBSN000009	2
5 QSR clear	0235	C	83	CBSN000009	2

Update Reset Submit

Columns Filters

#	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	Loi
1	Sell		exampletext				20250307	TEST	Yes
2	Buy		exampletext				20250307	TEST	Yes
3	Buy		exampletext				20250307	TEST	Yes
4	Sell		exampletext				20250307	TEST	Yes
5	Sell		exampletext				20250307	TEST	Yes

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

☐ Clearing Instr ☐ Contra Clearing Firm Number Party ID ☐ Contra Clearing Firm Number Party ID Source ☐ Contra Clearing Firm Number Party Role
☐ Contra Firm Order ID ☒ Contra Firm Text ☒ Firm Trade ID ☐ Locked In Indicator
☐ Price Type ☐ Reporting Clearing Firm Number Party ID ☐ Reporting Clearing Firm Number Party ID Source ☐ Reporting Clearing Firm Number Party Role
☐ Reporting Firm Order ID ☐ Reporting Firm Text ☐ Sec Exec ID ☐ Sec Firm Trade ID

Update Reset Submit

#	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
1	Sell	exampletxt				
2	Buy	exampletxt				
3	Buy	exampletxt				
4	Sell	exampletxt				
5	Sell	exampletxt				

Confirmation

Are you sure you want to submit 5 trade reports?

Confirm Cancel

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

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

All actions submitted successfully

☐ Clearing Instr ☐ Contra Clearing Firm Number Party ID ☐ Contra Clearing Firm Number Party ID Source ☐ Contra Clearing Firm Number Party Role ☐ Contra Firm Compliance ID ☐ Contra Firm Number of Party ID
☐ Contra Firm Order ID ☒ Contra Firm Text ☒ Firm Trade ID ☐ Locked In Indicator ☐ Prep Time ☐ Previously Reported
☐ Price Type ☐ Reporting Clearing Firm Number Party ID ☐ Reporting Clearing Firm Number Party ID Source ☐ Reporting Clearing Firm Number Party Role ☐ Reporting Firm Compliance ID ☐ Reporting Firm Number of Party ID
☐ Reporting Firm Order ID ☐ Reporting Firm Text ☐ Sec Exec ID ☐ Sec Firm Trade ID

Update Reset Submit

#	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
---	------	------------------	------------------	------------------------------	-------------------------------------	--------------------------------	--------------	---------------

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 ID
 ☐ 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
1	3000000011	3000000011	20250314-12:30:15.6110...	IBM		20	20	Y	Customer tra
2	3000000005	3000000005	20250314-11:07:12.8210...	IBM		12	12	Y	Customer tra
3	3000000002	3000000002	20250314-11:03:32.4430...	IBM		12	6	Y	Customer tra
4	3000000008	3000000008	20250314-11:45:36.2060...	IBM		20	20	Y	Customer tra
5	3000000002	3000000002	20250314-11:03:32.4430...	IBM		12	6	Y	Customer tra

- 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 ID
 ☐ 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
1	3000000002	3000000002	20250314-11:03:32.4430...	IBM		12	6	Y	Customer tra
4	3000000008	3000000008	20250314-11:45:36.2060...	IBM		20	20	Y	Customer tra
5	3000000002	3000000002	20250314-11:03:32.4430...	IBM		12	6	Y	Customer tra
2	3000000011	3000000011	20250314-12:30:15.6110...	IBM		20	20	Y	Customer tra
3	3000000005	3000000005	20250314-11:07:12.8210...	IBM		12	12	Y	Customer tra

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

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

#	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
1		0	1		C
4		0	1		C
5		0	1		C
2	83	83	1		C
3	83	83	1		C

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

Reporting Firm Order ID Reporting Firm Order Capacity Contra Firm Party ID Contra Clearing Firm Number Party 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

#	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
1		0	1		C
4		0	1		C
5		0	1		C
2	83	83	1		C
3	83	83	1		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.

☐ 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
 ☐ IT 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 SubID

☐ 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 ID
 ☐ Reporting Firm Number of Party SubID
 ☐ 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

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

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

☐ 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
 ☐ IT 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 SubID

☐ 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 ID
 ☐ Reporting Firm Number of Party SubID
 ☐ 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

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

☐ 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 ID
 ☐ 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 Rule
 ☐ Sec Exec ID

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

#	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

☒ 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 ID
 ☐ 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 Rule
 ☐ Sec Exec ID

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

#	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

Execution Date/Time: 20250315-12:00:00.000000000

Price: 100.01

Qty: 12

Reporting Firm Order ID:

Reporting Firm Order Capacity:

Contra Firm Order ID:

Contra Firm Order Capacity:

Trade Modifier 1:

Trade Modifier 2:

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 ID:

Contra Firm Number of Party ID:

Contra Firm Number of Party SubIDs:

Contra Give-up Firm Party ID:

Contra Give-up Firm Party ID Source:

Related Market Center:

Reporting Clearing Firm Number Party ID Source:

Reporting Clearing Firm Number Party Role:

Firm Trade ID:

Reporting Firm Number of Party ID:

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
1	3000000005	3000000005	20250314-11:07:12.8210...	IBM		12	12	Y	Customer tra
2	3000000011	3000000011	20250314-12:30:15.6110...	IBM		20	20	Y	Customer tra
3	3000000002	3000000002	20250314-11:03:32.4430...	IBM		12	6	Y	Customer tra
4	3000000008	3000000008	20250314-11:45:36.2060...	IBM		20	20	Y	Customer tra
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

Execution Date/Time: 20250315-12:00:00.000000000

Price: 100.01

Qty: 12

Reporting Firm Order ID:

Reporting Firm Order Capacity:

Contra Firm Order ID:

Contra Firm Order Capacity:

Trade Modifier 1:

Trade Modifier 2:

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 ID:

Contra Firm Number of Party ID:

Contra Firm Number of Party SubIDs:

Contra Give-up Firm Party ID:

Contra Give-up Firm Party ID Source:

Related Market Center:

Reporting Clearing Firm Number Party ID Source:

Reporting Clearing Firm Number Party Role:

Firm Trade ID:

Reporting Firm Number of Party ID:

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
1	3000000005	3000000005	20250315-12:00:00.0000...	IBM		12	100.01	Y	Customer tra
2	3000000011	3000000011	20250314-12:30:15.6110...	IBM		20	20	Y	Customer tra
3	3000000002	3000000002	20250315-12:00:00.0000...	IBM		12	100.01	Y	Customer tra
4	3000000008	3000000008	20250315-12:00:00.0000...	IBM		20	100.01	Y	Customer tra
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.

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

Execution Date/Time: 20250315-12:00:00.000000000 Qty: 100.01 Price: 100.01

Reporting Firm Order ID: Reporting Firm Order Capacity: Contra Firm Party ID: Reporting Clearing Firm Number Party ID: Reporting Firm Side: Reporting Firm Compliance ID

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 SubID

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 ID: Reporting Firm Number of Party SubID: 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
1	3000000005	3000000005	20250315-12:00:00.000000000	IBM		12	100.01	Y	Customer tra
2	3000000011	3000000011	20250314-12:30:15.6110...	IBM		20	20	Y	Customer tra
3	3000000002	3000000002	20250315-12:00:00.000000000	IBM		12	100.01	Y	Customer tra
4	3000000008	3000000008	20250315-12:00:00.000000000	IBM		20	100.01	Y	Customer tra
5	3000000002	3000000002	20250314-11:03:32.4430...	IBM		12	6	Y	Customer tra

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

Execution Date/Time: 20250315-12:00:00.000000000 Qty: 100.01 Price: 100.01

Reporting Firm Order ID: Reporting Firm Order Capacity: Contra Firm Party ID: Reporting Clearing Firm Number Party ID: Reporting Firm Side: Reporting Firm Compliance ID

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 SubID

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 ID: Reporting Firm Number of Party SubID: 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**

Confirmation
Are you sure you want to submit 5 trade reports?
Confirm Cancel

#	Orig Trade ID	Trade ID	Execution Date/Time	Symbol Root	Symbol Sfx	Qty	Price	Publish Indicator	Clearing Ins
1	3000000005	3000000005	20250315-12:00:00.000000000	IBM		12	100.01	Y	Customer tra
2	3000000011	3000000011	20250314-12:30:15.6110...	IBM		20	20	Y	Customer tra
3	3000000002	3000000002	20250315-12:00:00.000000000	IBM		12	100.01	Y	Customer tra
4	3000000008	3000000008	20250315-12:00:00.000000000	IBM		20	100.01	Y	Customer tra
5	3000000002	3000000002	20250314-11:03:32.4430...	IBM		12	6	Y	Customer tra

- 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: 20250315-12:00:00.000000000

Price: 100.01

Qty: 100.01

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 SubID: ☐

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 ID: ☐

Reporting Firm Number of 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
---	---------------	----------	---------------------	-------------	------------	-----	-------	-------------------	--------------

- 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: 20250314-12:30:15.6110...

Price: 20

Qty: 20

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 SubID: ☐

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 ID: ☐

Reporting Firm Number of 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
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

Trades To Correct: 5 Invalid Trades: 2 Successfully Corrected Trades: 3 AS OF Correction Failed Validation

☐ 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 SubID

☐ 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 ID
 ☐ Reporting Firm Number of Party SubID
 ☐ 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

#	Orig Trade ID	Trade ID	Execution Date/Time	Symbol Root	Symbol Sfx	Qty	Price	Publish Indicator	Clearing Ins
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

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

Trades To Correct: 5 Invalid Trades: 2 Successfully Corrected Trades: 3 AS OF Correction Failed Validation

☐ 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 SubID

☐ 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 ID
 ☐ Reporting Firm Number of Party SubID
 ☐ 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

#	Orig Trade ID	Trade ID	Execution Date/Time	Symbol Root	Symbol Sfx	Qty	Price	Publish Indicator	Clearing Ins
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

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

AS OF Correction Failed Validation

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

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 Rule

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 Rule Contra Firm Number of Party ID Contra Firm Number of Party SubID

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 Rule Firm Trade ID Reporting Firm Number of Party ID Reporting Firm Number of Party SubID 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
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

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

NYSE | **TRF**

TRADE MANAGEMENT

Trades **Rejected Trades** Transactions Transactions History

Search

Execution Date 03/18/2025 Execution Time To Control Date 03/18/2025 Orig Control Date 03/18/2025 Report Time 00:00:00.000000 To 23:59:59.999999

Contra Clearing Firm Party ID Contra Firm Compliance ID Contra Firm Party ID Contra Firm Side

Status FRJ X +2 Selected X

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 Reject Reason SIP Reject Flag

SIP Reject Reason Trade Report Trans Type Trade Report Type Search

Detail Resubmit

Status	Reject Reason	Trade ID	Execution Date/Time	Report Time	Symbol Root	Symbol Sfx	Qty	Price	Price Override	Publish Indicator	As Of Indicator	Clearing Ins
<input checked="" type="checkbox"/>	TREJ - Rejected R081:Price_Too_Far_Outside	3000000005	2025-03-18 11:17:08.428785000	11:17:08.429387531	SPV		100	0.000252		Y - Publish		12 - Cur
<input type="checkbox"/>	TREJ - Rejected R707:Original_Trade_Not_Found	30000000267	2025-03-18 11:17:13.428793000	11:17:44.553594800	IBM		100	0.000252		Y - Publish		12 - Cur
<input type="checkbox"/>	GTRJ - Rejected R700:Invalid_TRF_Tag:22003	30000000027	2025-03-18 11:17:23.428772000	11:17:23.430312875	SPV		6650	0.000252		Y - Publish		98 - QSI
<input type="checkbox"/>	TREJ - Rejected R081:Price_Too_Far_Outside	30000000038	2025-03-18 11:17:24.428764000	11:17:24.429446179	SPV		100	0.000254		Y - Publish		98 - QSI
<input checked="" type="checkbox"/>	TREJ - Rejected R081:Price_Too_Far_Outside	30000000047	2025-03-18 11:17:16.428785000	11:17:16.429406623	IBM		100	0.000254		Y - Publish		12 - Cur
<input checked="" type="checkbox"/>	TREJ - Rejected R081:Price_Too_Far_Outside	30000000049	2025-03-18 11:17:25.428763000	11:17:25.429450230	SPV		2087	0.000256		Y - Publish		13 - Sel
<input type="checkbox"/>	TREJ - Rejected R081:Price_Too Far Outside	30000000082	2025-03-18 11:17:53.428719000	11:17:53.429548806	SPV		100	0.00025		Y - Publish		13 - Sel

Selected: 3 Total Rows: 439

Total Result 439 Page 1 Rows Per Page 1,000

Intercontinental Exchange © Copyright 2025 Intercontinental Exchange, Inc. Privacy & Security Center Terms of Use Contact Us

- 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.

#	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

#	Cator	Orig Control Date	Orig Trade ID	Prep Time	Previously Reported	Price	Price Override	Price Type	Publish Indicator
1		20250318	3000000005		No	0.000252	Yes	98	Y
2		20250318	30000000047		No	0.000254	Yes	98	Y
3		20250318	30000000049		No	0.000256	Yes	98	Y

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

4.3 Transactions Tab

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

NYSE

TRF

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

2025-03-18T11:27:35.5

CANCEL

TARGET

TCRK - Corrected

4000003028

2025-03-16 11:22:43.428...

11:24:47.650195348

AAPL

100

0.000254

PILLAR

2025-03-18T11:27:35.5

CORRECT

CURRENT

TRAK - Accepted

4000003050

2025-03-18 11:24:49.428...

11:24:49.429993428

AAPL

100

0.00025

PILLAR

2025-03-18T11:27:37.5

CORRECT

TARGET

TCRK - Corrected

4000004117

2025-03-18 11:24:49.428...

11:27:37.714801431

AAPL

100

0.00025

PILLAR

2025-03-18T11:27:37.5

CORRECT

CURRENT

TRAK - Accepted

4000003094

2025-03-16 11:24:53.428...

11:24:53.479383169

AAPL

100

0.000252

PILLAR

2025-03-18T11:27:39.5

CORRECT

TARGET

TCRK - Corrected

4000004139

2025-03-16 11:24:53.428...

11:27:39.646843814

AAPL

100

0.000252

PILLAR

2025-03-18T11:27:39.5

CANCEL

CURRENT

TCRK - Corrected

4000003127

2023-03-16 11:22:46.428...

11:24:57.655640437

AAPL

100

0.000256

PILLAR

2025-03-18T11:27:40.5

CANCEL

TARGET

TCRK - Cancelled

4000003127

2023-03-16 11:22:46.428...

11:27:40.621890164

AAPL

100

0.000256

PILLAR

2025-03-18T11:27:40.5

CORRECT

CURRENT

TCRK - Corrected

3000003248

2025-03-16 11:20:11.428...

11:25:23.641703116

IBM

100

0.000252

PILLAR

2025-03-18T11:28:01.5

CORRECT

TARGET

TCRK - Corrected

3000004271

2025-03-16 11:20:11.428...

11:28:01.642825242

IBM

100

0.000252

PILLAR

2025-03-18T11:28:01.5

CANCEL

CURRENT

TRAK - Accepted

3000003270

2025-03-18 11:25:25.428...

11:25:25.429995762

IBM

100

0.000252

PILLAR

2025-03-18T11:28:05.5

CANCEL

TARGET

TCRK - Cancelled

3000003270

2025-03-18 11:25:25.428...

11:28:05.620044947

IBM

100

0.000252

PILLAR

2025-03-18T11:28:05.5

CORRECT

CURRENT

TRAK - Accepted

3000001578

2023-03-16 11:25:32.428...

11:25:32.430001041

SPY

100

0.000254

PILLAR

2025-03-18T11:28:10.5

CORRECT

TARGET

TCRK - Corrected

3000001996

2023-03-16 11:25:32.428...

11:28:10.644233867

SPY

100

0.000254

PILLAR

2025-03-18T11:28:10.5

CANCEL

CURRENT

TCRK - Corrected

3000003336

2025-03-18 11:23:19.428...

11:25:38.707466485

IBM

100

0.00025

PILLAR

2025-03-18T11:28:18.5

CANCEL

TARGET

TCRK - Cancelled

3000003336

2025-03-18 11:23:19.428...

11:28:18.620567532

IBM

100

0.00025

PILLAR

2025-03-18T11:28:18.5

CANCEL

TARGET

4000002610

0

0

PILLAR

2025-03-18T11:28:31.5

CORRECT

CURRENT

TRAK - Accepted

4000003479

2025-03-16 11:25:57.428...

11:25:57.480225797

AAPL

100

0.000248

PILLAR

2025-03-18T11:28:36.5

CORRECT

TARGET

TCRK - Corrected

4000004557

2025-03-16 11:25:57.428...

11:28:36.641365770

AAPL

100

0.000248

PILLAR

2025-03-18T11:28:36.5

Columns

Filters

4.4 Transactions History Tab

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

NYSE

TRF

TRADE MANAGEMENT

Trades

Rejected Trades

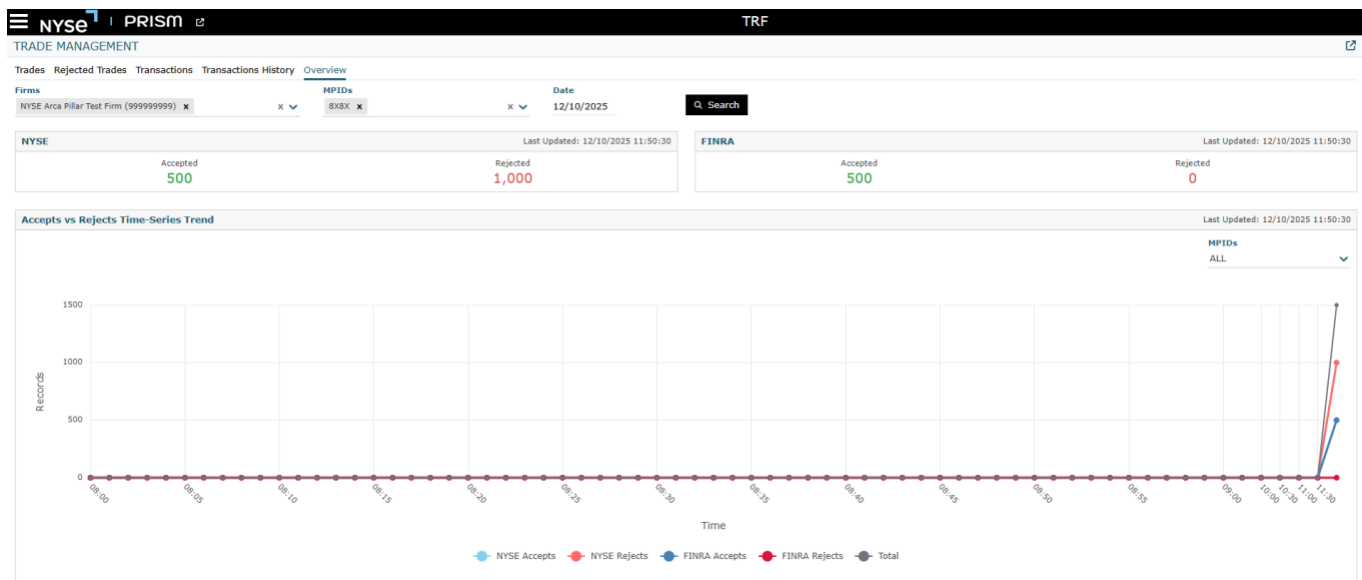
Transactions

Transactions History

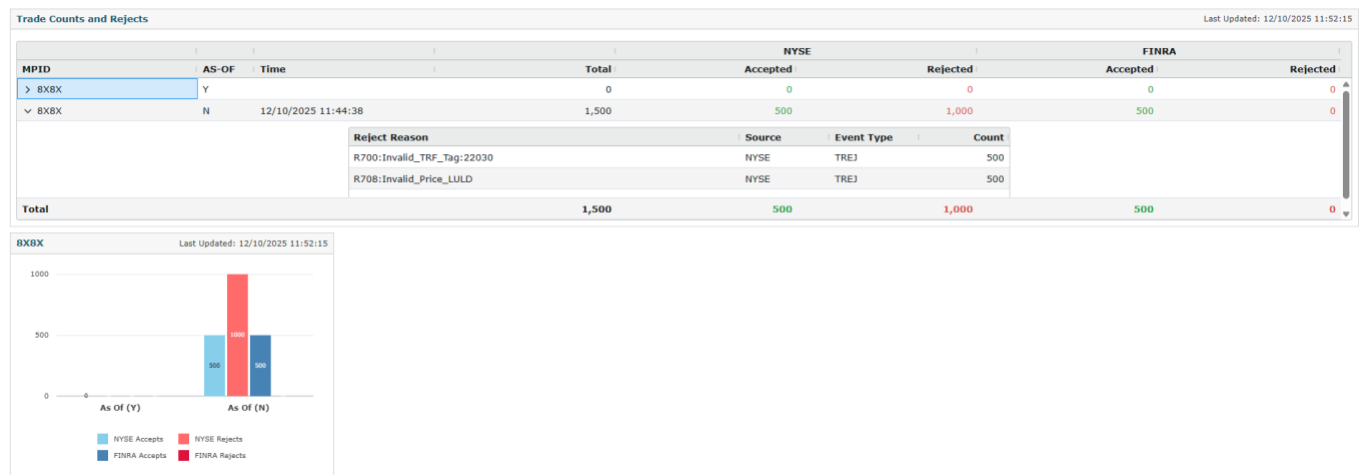
Search

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.



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

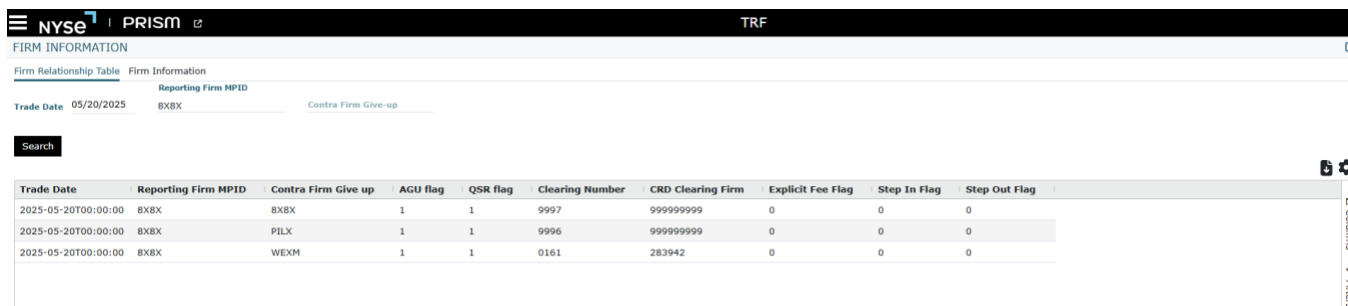


5. Firm Information

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

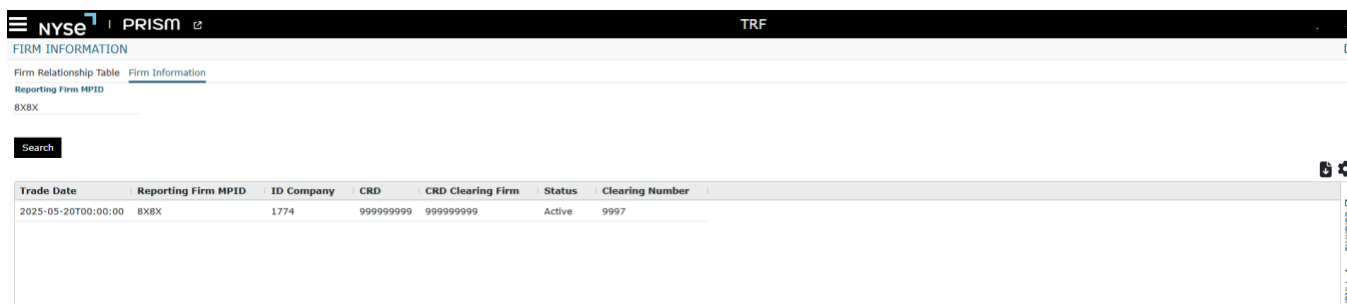


The screenshot shows the NYSE PRISM TRF interface for the Firm Relationship Table. The top navigation bar includes the NYSE logo, PRISM, and TRF. Below the navigation bar, there are tabs for 'Firm Relationship Table' and 'Firm Information'. The 'Firm Relationship Table' tab is active, showing a table with columns: Trade Date, Reporting Firm MPID, Contra Firm Give up, AGU flag, QSR flag, Clearing Number, CRD Clearing Firm, Explicit Fee Flag, Step In Flag, and Step Out Flag. The table contains three rows of data for the date 05/20/2025.

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	8XBK	8XBK	1	1	9997	999999999	0	0	0
2025-05-20T00:00:00	8XBK	PILX	1	1	9996	999999999	0	0	0
2025-05-20T00:00:00	8XBK	WEXM	1	1	0161	283942	0	0	0

5.1 Firm Information

- Details firm's information



The screenshot shows the NYSE PRISM TRF interface for the Firm Information tab. The top navigation bar includes the NYSE logo, PRISM, and TRF. Below the navigation bar, there are tabs for 'Firm Relationship Table' and 'Firm Information'. The 'Firm Information' tab is active, showing a table with columns: Trade Date, Reporting Firm MPID, ID Company, CRD, CRD Clearing Firm, Status, and Clearing Number. The table contains one row of data for the date 2025-05-20T00:00:00.

Trade Date	Reporting Firm MPID	ID Company	CRD	CRD Clearing Firm	Status	Clearing Number
2025-05-20T00:00:00	8XBK	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

NYse

PRISM

TRF

TOTAL TRADES COUNT

Role

Reporting Firm Party

MPID

8X8X

Control Date

12/10/2025

Search

Total Trades	Possible Trade Through	Possible SSR Violations	LULD Rejects
Current Day	0	0	0

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