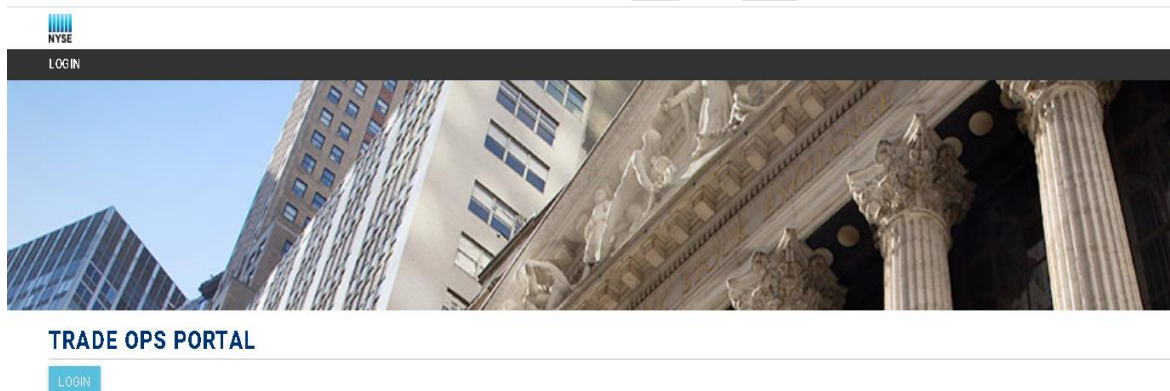




NYSE PILLAR TRADE OPS PORTAL (TOP) POST TRADE ADJUSTMENTS

Login

Log in by using the TOP Username (Email address) and password. For assistance with login details, please contact CRS@nyse.com.



Arca Options

Select "Trade Summary" under Arca Options.



Trade Summary

Trade Summary gives the user access to all cleared trade information. Provides general information such as Allocated, Floor Trades, Transactions, Transaction History, Export Excel, Displayed Grid Setting, Hide Filter, and Help Button.

TOP Functionality

Contractual Changes (volume and price changes) that are requested by the customer must be done by internal staff via Trading Desk Management (TDM). **Non-Contractual Changes** will be managed by the firms via the TOP application for access by both internal and external users (based on permissions and filtered based on access type).

- **Searching**
 - TOP gives the user access to filter criteria that will help search for trades. For example, the user can use one or a combination of the following criteria such as: Original Order ID, Clearing #, Badge, MPID, and Underlying Symbol to search for trades.
- **Allocated (Assigned with contras)**
 - TOP gives the user access to all allocated and reallocated trades.
- **Adjust** (Adjust allocated trades)
 - Under the “ALLOCATED” tab, select an upside-down triangle also known as the “Edit Icon”. This will populate the “Trade Action”.
 - User can select the “Adjust” tab.
 - If the user is on both sides of the trade, they can designate for each allocation record.
 - User will be able to adjust CMTA, Clearing #, Open/Close, Badge, Account (Actionable Identifier), Optional Data, and Cap Strategy ID.
 - Once the criteria are updated, submit the adjustment
 - User can select the “Click here to see Transaction”. This will enable the user to see the adjustment.

TRADE SUMMARY

Trade Action

ADJUST SPLIT

[Change] Reason Code

Non-Contractual Field Change

Customer Side

Customer or Firm: Customer

MPID: TRFX

MMID:

Clearing #: 333

Open/Close: Close

Badge: TFG1

CMTA:

Account:

Optional Data:

Cap Strategy ID:

Contra Side

Customer or Firm: Firm

MPID: TRFX

MMID:

Clearing #: 333

Open/Close: Close

Badge: TFG1

CMTA:

Account:

Optional Data:

Cap Strategy ID:

SUMMIT RESET

Contra side: Clearing #: 333

Contra side: Customer or Firm: 0

Contra side: MPID: TRFX

Contra side: Open/Close: C

Contra side: Badge: TFG1

Customer side: Clearing #: 333

Customer side: Customer or Firm: 0

Customer side: MPID: TRFX

Customer side: Open/Close: C

Customer side: Badge: TFG1

Original Order ID: 66244995421399

Deal ID: 55294995421425

Price: 2

Qty: 10

Expiration Date: 09/12/2021

Original Trade Date: 09/01/2021

DE Root Symbol: IBM

- **Split** (Splitting the allocated trades)
 - Under the “ALLOCATED” tab, select an upside-down triangle also known as the “Edit Icon”. This will populate the “Trade Action”.
 - Select the “Split” tab.
 - User can indicate either side of the trade for each allocation record.
 - User can split quantity in the “Slice Quantity”.
 - User can adjust Firm/Customer, CMTA, Clearing #, Open/Close, Badge, Account (Actionable Identifier), Optional Data, and Cap Strategy ID.
 - User can designate for each allocation record.
 - Once the split is done, submit the adjustment
 - User can select the “Click here to see Transaction”. This will enable for the user to see the trade adjustment.

TRADE SUMMARY

Trade Action

ADJUST **SPLIT**

Slice Quantity: 500 (Change) Reason Code: Non-Contractual Field Change

Customer Side: Customer or Firm: Customer MPID: TRFX MMID: Clearing #: 333 Open/Close: Open Badge: TF01

CMTA: Account: Optional Data: Cap Strategy ID: -

Contra Side: Customer or Firm: Customer MPID: TRFX MMID: Clearing #: 333 Open/Close: Close Badge: TF01

CMTA: Account: Optional Data: Cap Strategy ID: -

ADD SLICE RESET

Total Splits: 0 / 500

Row #	Slice Quantity	Change Reason	Customer side: MPID	Customer side: Open/Close	Customer side: Customer or Firm	Customer side: MMID	Customer side: Clearing #

Contra side: Clearing #: 333
 Contra side: Customer or Firm: 0
 Contra side: MPID: TRFX
 Contra side: Open/Close: C
 Contra side: Badge: TF01
 Customer side: Clearing #: 333
 Customer side: Customer or Firm: 0
 Customer side: MPID: TRFX
 Customer side: Open/Close: O
 Customer side: Badge: TF01
 Original Deal Id: 844424930132451
 Deal Id: 1631311060283689472
 Price: 2.5
 Qty: 500
 Expiration Date: 09/17/2021
 Original Trade Date: 09/09/2021
 OSI Root Symbol: AAPL
 Put/Call: 1
 Ref Exec Time: 09/09/2021 13:47:22.309106688

Search
☒ Hide Empty Properties

- **Multiple Edit** (Changes on multiple trades at the same time)
 - Under the “ALLOCATED” tab, the user can select the square box known as the “Edit Icon” and then select the “Multiple Edit”. This will allow the user to update and make any non-contractual adjustment. This will populate the “Multiple Edit” screen.

ARCA OPTIONS

TRADE SUMMARY

ALLOCATED FLOOR TRADES TRANSACTIONS TRANSACTION HISTORY

End/Reset Broker Firm: TRAFIX LLC Original Trade Date: 09/07/2021 Ref Exec Time: 09/07/2021 15:02:45.503552512 Underlying Symbol: Old Symbol:

Old Root Symbol: Expiration Date: mm/dd/yyyy Strike Price: Pub/Call: Qty: Price: to:

MPID: Clearing #: MMID: CMTA: Badge: Open/Close: -

Customer or Firm: OCC Seq #: Liquidity Indicator: Side: DealId:

Original DealId: CrossID: Client Order to: Public Order to: Session Id: Account:

SEARCH RESET MULTI-EDIT 3

Event T...	Ref Exec Time	DealId	Original Deal Id	Expiration D...	Pub...	Strike Price	Price	Qty	OCC Seq #	Unde...	Side	Client Order Id	MPID	Session Id	MMID	Badge
ALC	09/07/2021 15:02:45.503552512	562948953423089	562948953423083	09/07/2021	Call	145.00000	0.55000	774	5000096	IBM	BUY	20210907AIFA...	TRFX	NOF-ARTR...		TF01
ALC	09/07/2021 15:02:45.503552512	562948953423089	562948953423083	09/07/2021	Call	145.00000	0.55000	774	5000096	IBM	SELL	20210907AIFA...	TRFX	NOF-ARTR...		TF01
ALC	09/07/2021 14:15:13.977307904	562948953422855	562948953422829	09/07/2021	Call	145.00000	2.10000	444	5000078	IBM	BUY	20210907AIFA...	TRFX	NOF-ARTR...		TF01
ALC	09/07/2021 14:15:13.977307904	562948953422855	562948953422829	09/07/2021	Call	145.00000	2.10000	444	5000078	IBM	SELL	20210907AIFA...	TRFX	NOF-ARTR...		TF01
ALC	09/07/2021 13:38:23.068910336	562948953422725	562948953422621	09/07/2021	Call	135.00000	1.75000	1,500	5000074	IBM	BUY	20210907AIFA...	TRFX	NOF-ARTR...		TF01
ALC	09/07/2021 13:38:23.068910336	562948953422725	562948953422621	09/07/2021	Call	135.00000	1.75000	1,500	5000074	IBM	SELL	20210907AIFA...	TRFX	NOF-ARTR...		TF01
ALC	09/07/2021 13:38:23.063118144	562948953422699	562948953422595	09/07/2021	Call	135.00000	2.80000	750	5000073	IBM	BUY	20210907AIFA...	TRFX	NOF-ARTR...		TF01

- User will be able to adjust CMTA, Clearing #, Open/Close, Badge, Account (Actionable Identifier), Optional Data, and Cap Strategy ID.
- Once the adjustment is made, submit the adjustment. (User must ensure that all trades selected for the “Multi- Update” are related and the change to being made is appropriate for all the trades that have been selected).
- User can select the “Click here to see Transaction”. This will enable the user to see the updated trades.
- **Approve / Reject Trades** (Accepting or Rejecting Trades for Market Maker. **TOP** replaces Trade Notification Transaction also known as TNT)
 - Under the “TRANSACTIONS” tab, select an upside-down triangle also known as the “Edit Icon” next to the “CO_APPROVAL_PENDING”. This will populate the “Trade Summary Approval” screen.
 - User can select either “Approve” or “Reject”.
 - Once the “Approve” or “Reject” is selected, submit.

CMTA: Account:

APPROVE REJECT RESET

Support Contact

For assistance with TOP, please contact nyse-arcaoptionsgems@ice.com.