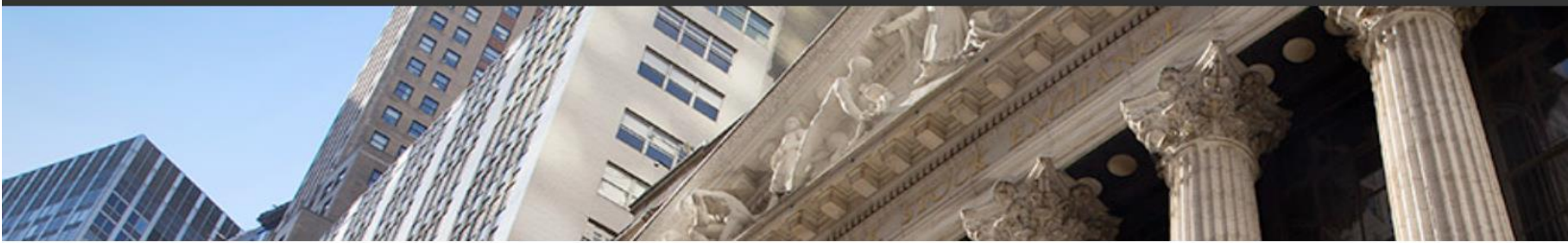


NYSE PILLAR TRADE OPS PORTAL (TOP)

POST TRADE ADJUSTMENTS USER GUIDE







TRADE OPS PORTAL


LOGIN

SUMMARY

This user guide provides directions on how to perform various post trade adjustments on NYSE TOP. For details regarding viewing and managing risk parameters on TOP, please review the [NYSE Pillar Risk Controls document](#).


Resources

- Export to Excel 
- Display Grid Setting is customizable by selecting / unselecting columns 
- Hide Filter  (allow the entire page to display trade information)
- Help Button  defines each column on the current page with a pop-out glossary
- Additional support can be found at www.nyse.com/pillar-migration

- Edit Icon  Appear only with the “Allocated” trades
- Edit Icon Appears only with the “Unallocated” trades

LOGIN

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



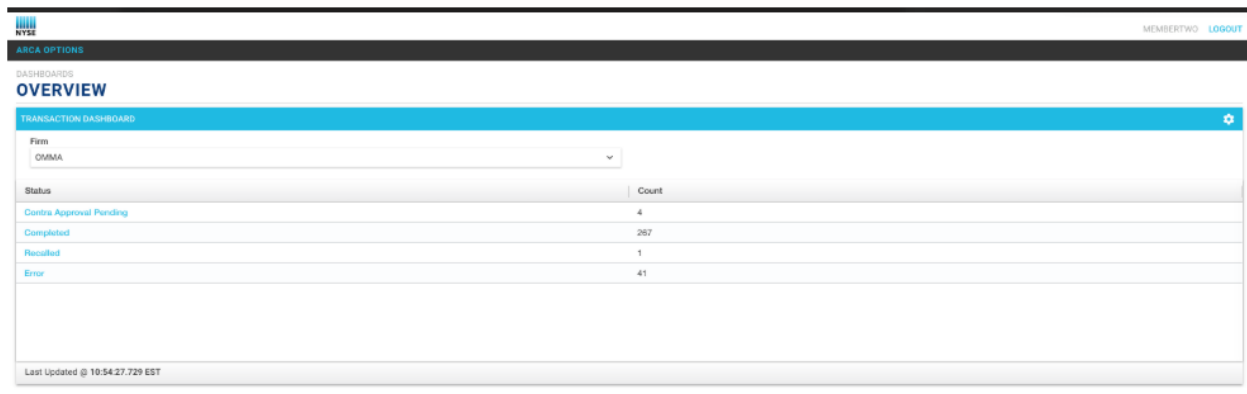
By clicking on the "Login" button, you indicate that you have reviewed and accepted the [Terms of Use](#).
[Forgot Password](#) | [Change Password](#) | [Request SSO Global ID](#)

DASHBOARD

Dashboard will provide general information such as "Overview and Transaction Dashboard"

OVERVIEW

- Transaction Dashboard
 - Status
 - Count
 - A measure of the number of times that an event occurs.
 - Last Updated time (ET time zone)



The screenshot shows the 'TRANSACTION DASHBOARD' for the firm 'OMMA'. It features a table with the following data:

Status	Count
Contingent Approval Pending	4
Completed	267
Recalled	1
Error	41

At the bottom of the dashboard, it indicates 'Last Updated @ 10:54:27.729 EST'.

ARCA Options

Select the "Trade Summary" under ARCA Options.



The screenshot shows the 'ARCA OPTIONS' menu with two main sections: 'FIRM INFORMATION' and 'REPORTS'. Under 'REPORTS', the 'Trade Summary' option is highlighted.

FIRM INFORMATION	REPORTS
My Firm MFDs	Activity Report
My Sessions	
Risk Monitor	
Risk Settings	
Trade Summary	

Trade Summary

Trade Summary provides users access to all **cleared trade** information. It provides general information such as Allocated, Floor Trades, Transactions, Transaction History, Export Excel, Display Grid Setting, Hide Filter, and Help buttons.

Contractual Changes (volumes and price changes) that are requested by the customer must be done by NYSE Staff. Once changes have been made you can see the changes in allocated trades.

Non-Contractual Changes will be managed by the firms via TOP for access by both internal and external users (based on permissions and filtered based on access type).

ARCA OPTIONS

FIRM INFORMATION

TRADE SUMMARY ⓘ

ALLOCATED FLOOR TRADES TRANSACTIONS TRANSACTION HISTORY

Entitlement	Firm	Make For	Original Trade Date	Ref Exec Time	Underlying Symbol
Entering Firm	CBOE Trading, Inc.	Partial Allocation	08/16/2021	hh:mm:ss.00000000 to hh:mm:ss.00000000	
Broker Firm	OSI Root Symbol	Expiration Date	Strike Price	Put/Call	Qty
Clearing Firm	MPID	mm/dd/yyyy		-	to
Entering Maker	Clearing #		MMID	CMTA	Badge
Market Maker Firm	Customer or Firm	OCC Seq #	Liquidity Indicator		Side
Trade Checker	Original Deal Id	Cross ID	Client Order Id	Public Order Id	Season Id
Deal Id					
Account					

SEARCH RESET
Common

Original Trade Date	Event Type	Ref Exec Time	Deal Id	Original Deal Id	OSI Symbol	OSI Root Symbol	Expiration Date	Put/Call
---------------------	------------	---------------	---------	------------------	------------	-----------------	-----------------	----------

Allocated

Allocated shows the latest state of each completed transaction sent to the OCC. Find allocated trades by searching via the Trade Summary:

ARCA OPTIONS

FIRM INFORMATION

TRADE SUMMARY ⓘ

ALLOCATED FLOOR TRADES TRANSACTIONS TRANSACTION HISTORY

Original Trade Date	Ref Exec Time	Underlying Symbol	OSI Symbol	OSI Root Symbol	Expiration Date
08/26/2021	hh:mm:ss.00000000 to hh:mm:ss.00000000				mm/dd/yyyy
Strike Price	Put/Call	Qty	Price	MPID	Clearing #
	-	to	to		
MMID	CMTA	Badge	Open/Close	Customer or Firm	OCC Seq #
			-		
Liquidity Indicator	Deal Id	Side	Original Deal Id	Original Deal Id	Cross ID
-					
Client Order Id	Public Order Id	Season Id	Account		

SEARCH RESET
Common

Adjust (Adjust allocated trades)

TOP provides user the access to make any adjustment that is a non-contractual change.

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.

Multi-Edit (Changes on multiple trades at the same time)

TOP allows users to make multiple adjustments for non-contractual changes.

Under the “ALLOCATED” tab, select multiple upside-down triangles also known as the “Edit Icon”.

	Original Trade Date	Event Type	Ref Exec Time	Event Time	Deal Id	Original Deal Id	Ref Deal Id	OSI Symbol	OSI Root Symbol	Expiration Date	Pub/Call
<input checked="" type="checkbox"/>	12/10/2021	ALC	12/10/2021 15:21:48.326697984	12/10/2021 15:21:48.326697000	14918190945534070	14918190945534070	14918190945534070	AMAT 211210C00100000	AMAT	12/10/2021	Call
<input checked="" type="checkbox"/>	12/10/2021	ALC	12/10/2021 15:21:48.326697984	12/10/2021 15:21:48.326697000	14918190945534070	14918190945534070	14918190945534070	AMAT 211210C00100000	AMAT	12/10/2021	Call
<input checked="" type="checkbox"/>	12/10/2021	ALC	12/10/2021 15:20:13.315811584	12/10/2021 15:33:51.688930000	844442110001348	844442110001322	844442110001322	AMAT 211210C00100000	AMAT	12/10/2021	Call
<input checked="" type="checkbox"/>	12/10/2021	ALC	12/10/2021 15:20:13.315811584	12/10/2021 15:33:51.688930000	844442110001348	844442110001322	844442110001322	AMAT 211210C00100000	AMAT	12/10/2021	Call
<input checked="" type="checkbox"/>	12/10/2021	ALC	12/10/2021 15:20:13.315811000	12/10/2021 18:05:51.056359000	844442110001374	844442110001296	844442110001296	AMAT 211210C00100000	AMAT	12/10/2021	Call
<input type="checkbox"/>	12/10/2021	ALC	12/10/2021 15:20:13.315811000	12/10/2021 18:05:51.056359000	844442110001374	844442110001296	844442110001296	AMAT 211210C00100000	AMAT	12/10/2021	Call
<input type="checkbox"/>	12/10/2021	ALC	12/10/2021 14:52:03.903491104	12/10/2021 14:52:03.903491104	4636671137601455	4636671137601455	4636671137601455	IBM 211210C00100000	IBM	12/10/2021	Call

This will enable the “Multiple-Edit” icon. User will then select the “MULTI- EDIT” Icon.

- User can adjust CMTA, Clearing #, Open/Close, Badge, Account (Actionable Identifier), Optional Data, and Cap Strategy ID. Once the user adjusts the field, the column will be highlighted to yellow.
- Once the adjustment is made, submit the adjustment (User must ensure that all trades selected for the "Multi-Edit" are related and the change to being made is appropriate for all the trade that have been selected).

TRADE SUMMARY
MULTI-EDIT

Change Reason Code
Non-Contractual Field Change

Customer Side
Customer or Firm: Customer MPID: OMMA MMID: Clearing #: 0074 Open/Close: Close Badge: Account: 8888 CMTA: 9999 Optional Data: TEST

SUBMIT **RESET**

Note:
1. In the table below, updated values are highlighted in yellow
2. To blank out a text (input) field select existing text and delete it, or enter one or more spaces

Status	Original Trade ...	Deal Id	OSI Symbol	Unde...	OSI Root Sy...	Expiration D...	Put/C...	Strike...	Price	Qty	Customer or FI...	MPID	Open...	MMID	Clearing #	Badge	CMTA	Account	Opti
To be processed	01/04/2022	281492156582200	A39X0 220803C00940200	A39X0	A39X0	08/03/2022	Call	940.2	1.72	19	Customer	OMMA	Close		0074		9999	8888	TEST
To be processed	01/04/2022	281492156582209	A39X0 220803C00951200	A39X0	A39X0	08/03/2022	Call	951.2	1.37	19	Customer	OMMA	Close		0074		9999	8888	TEST
To be processed	01/04/2022	281492156582182	A39X0 220803C00951200	A39X0	A39X0	08/03/2022	Call	951.2	1.37	51	Customer	OMMA	Close		0074		9999	8888	TEST
To be processed	01/04/2022	281492156582173	A39X0 220803C00940200	A39X0	A39X0	08/03/2022	Call	940.2	1.72	51	Customer	OMMA	Close		0074		9999	8888	TEST
To be processed	01/04/2022	281492156582047	A2SDA 220803C00960200	A2SDA	A2SDA	08/03/2022	Call	960.2	10.25	20	Customer	OMMA	Close		0074		9999	8888	TEST

Split (Splitting the allocated trades)

TOP allows users to make any adjustment that is a non-contractual change.

Under the “ALLOCATED” tab, select an upside-down triangle grid also known as the “Edit Icon”. This will populate the “Trade Action”.

TRADE SUMMARY
Trade Action

ADJUST **SPLIT**

Slice Quantity: 50 (Change Reason Code: Non-Contractual Field Change)

Customer Side
Customer or Firm: Customer MPID: TRFX MMID: Clearing #: 333 Open/Close: Open Badge: TFG1 Account: TESTOCC

Contra Side
Customer or Firm: Customer MPID: TRFX MMID: Clearing #: 333 Open/Close: Open Badge: TFG1 Account: TESTOCC

ADD SLICE **RESET**

Total Splits: 50 / 100

Row #	Slice Quantity	Change Reason	Customer side: MPID	Customer side: Open/Close	Customer side: Customer or Firm	Customer side: MMID	Customer side: Clearing #
1	50	Non-Contractual Field Change	TRFX	Open	Customer		333

Contra side: Clearing #: 333
Contra side: Customer or Firm: 0
Contra side: MPID: TRFX
Contra side: Open/Close: 0
Contra side: Badge: TFG1
Customer side: Account: TESTOCC
Customer side: Clearing #: 333
Customer side: Customer or Firm: 0
Customer side: MPID: TRFX
Customer side: Open/Close: 0
Customer side: Badge: TFG1
Original Deal Id: 844442110201167
Deal Id: 844442110001193
Price: 23
Qty: 100
Expiration Date: 11/10/2021
Original Trade Date: 11/09/2021
OSI Root Symbol: ICBCO
Put/Call: 0

Search:

Hide Empty Properties

- 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, 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 the user to see the trade adjustment.

Floor Trades

ARCA OPTIONS

FIRM INFORMATION

TRADE SUMMARY

ALLOCATED FLOOR TRADES TRANSACTIONS TRANSACTION HISTORY

Match For: Partial Allocation

Original Trade Date: 09/26/2021

Ref Exec Time: hh:mm:ss.00000000 to hh:mm:ss.00000000

Underlying Symbol: []

OSI Symbol: []

OSI Root Symbol: []

Expiration Date: mm/dd/yyyy

Strike Price: []

Put/Call: []

Qty: [] to []

Price: [] to []

MPID: []

Clearing #: []

MMID: []

CMTA: []

Badge: []

Open/Close: []

Customer or Firm: []

OCC Seq #: []

Liquidity Indicator: []

Side: []

Deal Id: []

Original Deal Id: []

Cross ID: []

Client Order Id: []

Public Order Id: []

Session Id: []

Account: []

SEARCH RESET

- Match For

Match For

- All INFs
- All INFs
- Partial Allocation
- Zero Allocation

- All INFs - Displays the internal fill message.
- Partial Allocation - Displays some of the allocated trades that are filled.
- Zero Allocation - Display no allocation.

Allocate (Floor Trades)

User can "Allocate" trade if the trade is not allocated. (E.g. Names Later)

TRADE SUMMARY

Trade Action

ALLOCATE UNALLOCATE

My Ownership: []

Customer Side: []

CMTA: []

Contra Side: []

Slice Quantity: []

(Change) Reason Code: []

MPID: []

MMID: []

Clearing #: []

Open/Close: []

Badge: []

Account: []

Optional Data: []

Cap Strategy Id: []

Clearing #: 355

CMTA: 161

Customer or Firm: 0

MPID: TRFX

Open/Close: 0

Badge: TF01

Original Deal Id: 562949953421399

Deal Id: 562949953421399

Price: 33.05

Qty: 801

Expiration Date: 10/01/2021

Original Trade Date: 09/29/2021

OSI Root Symbol: IBM

Put/Call: 1

Ref Exec Time: 09/29/2021 09:33:45.704260864

Strike Price: 105

OSI Symbol: IBM 211001C00105000

Underlying Symbol: IBM

801 out of 801 are allocated, and the remaining 0 are allocations in progress. Currently, there is no quantity available for allocation.

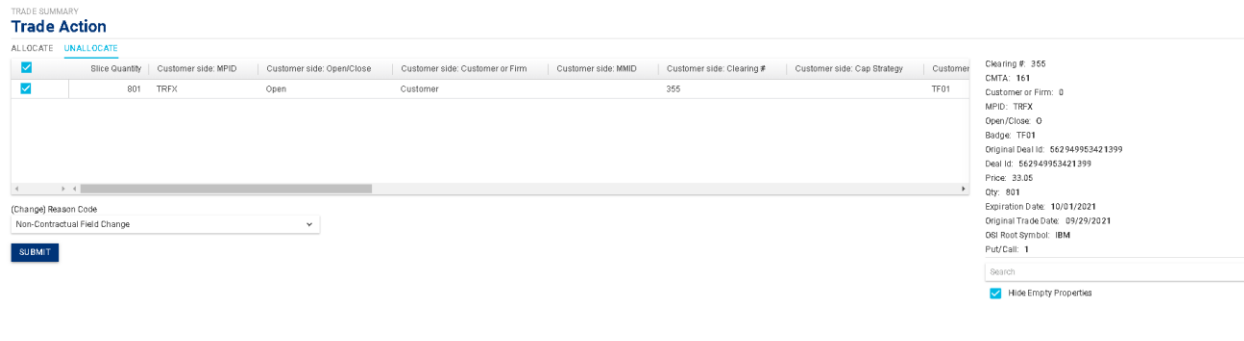
Row #	My Ownership	Slice Quantity	Change Reason	Customer side: MPID	Customer side: Open/Close	Customer side: Customer or Firm	Customer side: MMID	Customer si
No records found for filter criteria								

SEARCH

Hide Empty Properties

Unallocate (Floor Trade)

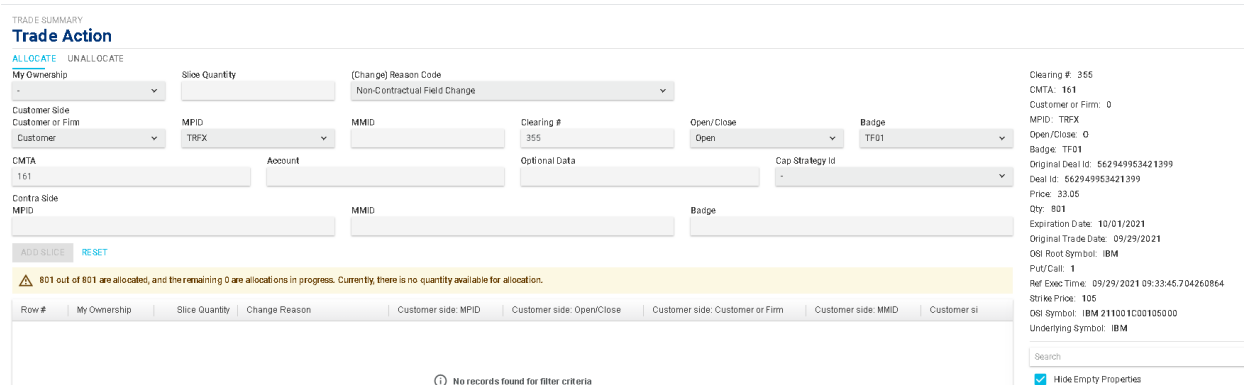
User can “Unallocate” a trade if the trade is already allocated. (E.g. Broker allocated the trade to the wrong Market Maker.)



- If the user is on both sides of the trade, the user can select the “Unallocate” tab and select the top box icon also known as the “Edit Icon”. This will automatically select both the buy and the sell sides. Submit your unallocated update and this will undo both the buy and the sell sides of the trade.
- If the user is only on one side of the trade, the user can select the “Unallocate” tab and select the top box icon also known as the “Edit Icon”. Submit your unallocated update and this will undo the initiating side of the trade and send a recall message to the contra side.
- User can select the “Click here to see Transaction”. This will enable the user to see the trade be updated to “Unallocate” trades.
- Once the contra-side has approved the recall, the initiating user can change the contra under the "Allocate" tab in the “FLOOR TRADE” tab.

Reallocate (Reassigning Contra)

Under the “FLOOR TRADE” tab, select the “Allocate” tab and reassign the contra. Once the reallocate (Contra) is selected, submit the reallocation.



Recall (Recalling the trade back)

User can select the “Recall” tab to recall a trade. Only available for Floor Trades. (E.g. Sending the trade to the wrong MM.)

TRADE SUMMARY
Approval
 RECALL

Warning
 All outstanding allocations need to be executed prior to EOD processing

RECALL

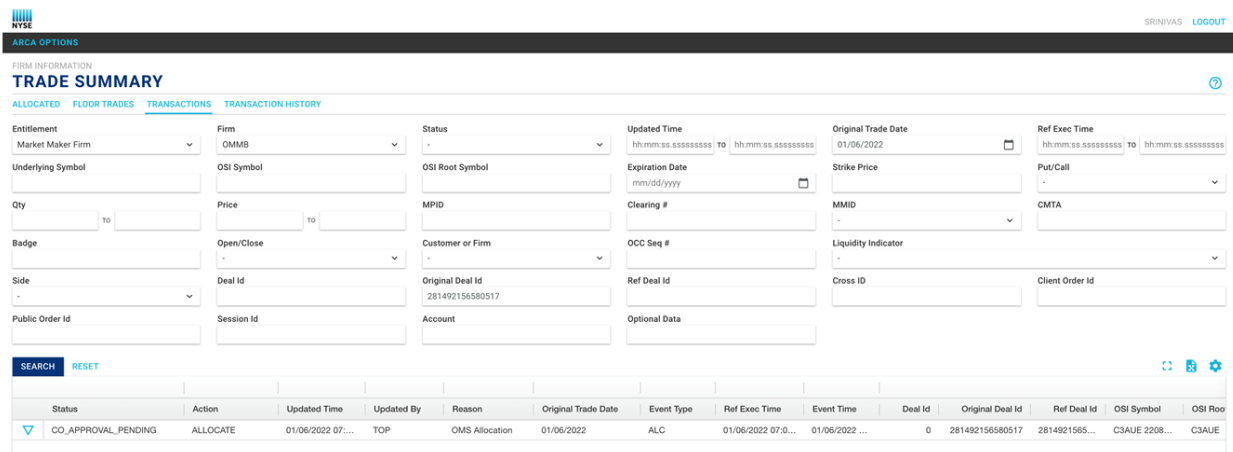
Clearing #: 365
 CMTA: 161
 Customer or Firm: 0
 MPID: TRFX
 Open/Close: C
 Badge: TF01
 Original Deal Id: 562949953421477
 Deal Id: 562949953421503
 Price: 2.1
 Qty: 204
 Expiration Date: 09/17/2021
 Original Trade Date: 09/07/2021
 OSI Root Symbol: IBM
 Put/Call: 1

- Once the contra side has approved the recall, the initiating user will be able to reallocate.
- User can select the “Click here to see Transaction”. This will enable the user to see the recalled trades.

Market Makers

Market Makers can approve and reject trades (TOP is now replacing 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.



ARCA OPTIONS SRINIVAS LOGOUT

FIRM INFORMATION
TRADE SUMMARY

ALLOCATED FLOOR TRADES **TRANSACTIONS** TRANSACTION HISTORY

Entitlement: Market Maker Firm Firm: OMMB Status: - Updated Time: hh:mm:ss.ssssssss to hh:mm:ss.ssssssss Original Trade Date: 01/06/2022 Ref Exec Time: hh:mm:ss.ssssssss to hh:mm:ss.ssssssss

Underlying Symbol: OSI Symbol: OSI Root Symbol: Expiration Date: mm/dd/yyyy Strike Price: Put/Call: -

Qty: Price: MPID: Clearing #: MMID: CMTA: -

Badge: Open/Close: Customer or Firm: OCC Seq #: Liquidity Indicator: -

Side: Deal Id: Original Deal Id: 281492156580517 Ref Deal Id: Cross ID: Client Order Id:

Public Order Id: Session Id: Account: Optional Data:

SEARCH RESET

Status	Action	Updated Time	Updated By	Reason	Original Trade Date	Event Type	Ref Exec Time	Event Time	Deal Id	Original Deal Id	Ref Deal Id	OSI Symbol	OSI Root
▼ CO_APPROVAL_PENDING	ALLOCATE	01/06/2022 07:...	TOP	OMS Allocation	01/06/2022	ALC	01/06/2022 07:0...	01/06/2022 ...	0	281492156580517	2814921565...	C3AJUE 2208...	C3AJUE

- User can select either “Approve” or “Reject”.
- Once the “Approve” or “Reject” is selected, submit.

TRADE SUMMARY

Approval

APPROVE/REJECT

(Change) Reason Code: Other Other Reason: OMS Allocation

Customer Side: Customer or Firm: Market Maker MPID: OMMB MMID: MMDMMB Clearing #: 0396 Open/Close: Open Badge:

CMTA: Account: Optional Data: Cap Strategy Id:

Clearing #: 0396
 Customer or Firm: 3
 MPID: OMMB
 Open/Close: O
 MMID: MMDMMB
 Original Deal Id: 281492156580517
 Deal Id: 0
 Price: 10.2
 Qty: 150
 Expiration Date: 08/03/2022
 Original Trade Date: 01/06/2022
 OSI Root Symbol: C3AUE
 Put/Call: 1

Search:

Hide Empty Properties

Additional support can be found at www.nyse.com/pillar-migration