_G_LOBAL _E_XECUTION _M_ANAGEMENT _S_YSTEM
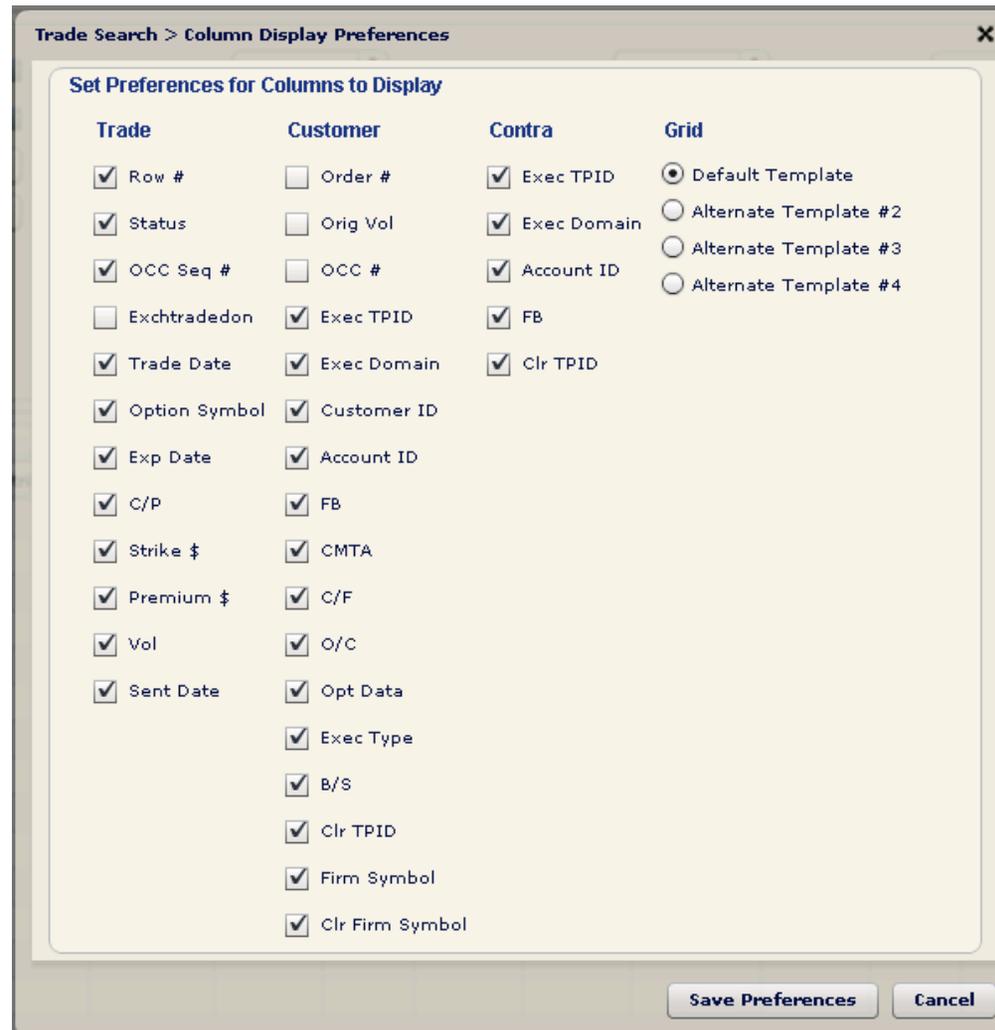
(FOR NYSE AMEX/ARCA OPTIONS)

----- QUICK TIPS -----

The initial search template you are presented with will be the GEMS "Default Template". Right click in the search results grid below the search criteria and a menu will open showing the various trade data fields available for display. You will also notice that in the upper right hand portion of that menu, four *Grid template choices* are shown, beginning with the Default Template:

Trade Search > Column Display Preferences

Set Preferences for Columns to Display

Trade	Customer	Contra	Grid
☑ Row #	☐ Order #	☑ Exec TPID	⦿ Default Template
☑ Status	☐ Orig Vol	☑ Exec Domain	◯ Alternate Template #2
☑ OCC Seq #	☐ OCC #	☑ Account ID	◯ Alternate Template #3
☐ Exchtradedon	☑ Exec TPID	☑ FB	◯ Alternate Template #4
☑ Trade Date	☑ Exec Domain	☑ Clr TPID	
☑ Option Symbol	☑ Customer ID		
☑ Exp Date	☑ Account ID		
☑ C/P	☑ FB		
☑ Strike $	☑ CMTA		
☑ Premium $	☑ C/F		
☑ Vol	☑ O/C		
☑ Sent Date	☑ Opt Data		
	☑ Exec Type		
	☑ B/S		
	☑ Clr TPID		
	☑ Firm Symbol		
	☑ Clr Firm Symbol		

Save Preferences   Cancel

Try out the various grid search templates to see if there is one that you prefer over others. Once you have selected the one you prefer, utilize some of the basic functionality available via Windows to customize the display of your Trade Search screen, if you prefer:

					Trade											Customer									
Select	Row #	Status	OCC Se...	Trade Date	Option ...	Exp Date	C/P	Strike $	Premium $	Vol	Sent ...	Exec TPID	Exec Do...	Customer...	Account...	FB	CMTA	C/F	O/C	Opt Data	Exec Type	B/S	Clr TPID	Firm Sy...	Clr Firm...
☐	1		728	04/01/2014 09	PRAN	20141122	C	3	.85	9	04/01/2	ARRBA	ARRBA					C	C	RBCH-MM-	O		ARRBA	C01	C01
☐	2		729	04/01/2014 09	PRAN	20141122	C	3	.85	11	04/01/2	ARRBA	ARRBA					C	C	RBCI-MM-	O		ARRBA	C01	C01
☐	3		432	04/01/2014 09	CIEN	20140517	C	23	1.15	3	04/01/2	ARRBA	ARRBA					C	C	RBCI-MM-	O		ARRBA	C01	C01
☐	4		736	04/01/2014 09	PII	20140419	P	140	2.85	5	04/01/2	ARRBA	ARRBA					C	C	RBCI-MM-	O		ARRBA	C01	C01
☐	5		737	04/01/2014 09	PKG	20140719	C	70	3.9	6	04/01/2	ARRBA	ARRBA					C	C	RBCI-MM-	O		ARRBA	C01	C01
☐	6		738	04/01/2014 09	PKG	20140719	C	70	3.9	4	04/01/2	ARRBA	ARRBA					C	C	RBCI-MM-	O		ARRBA	C01	C01
☐	7		437	04/01/2014 09	COF	20150117	C	75	6.4	1	04/01/2	ARRBA	ARRBA					C	C	RBCH-MM-	O		ARRBA	C01	C01
☐	8		740	04/01/2014 09	PII	20140419	P	140	3	10	04/01/2	ARRBA	ARRBA					C	C	RBCI-MM-	B		ARRBA	C01	C01
☐	9		307	04/01/2014 09	YUM	20140419	C	75	1.45	4	04/01/2	ARRBA	ARRBA					C	C	RBCI-MM-	B		ARRBA	C01	C01
☐	10		308	04/01/2014 09	YUM	20140419	C	75	1.45	6	04/01/2	ARRBA	ARRBA					C	C	RBCI-MM-	O		ARRBA	C01	C01
☐	11		1408	04/01/2014 09	TLT	20140404	C	107.5	1.1	3	04/01/2	ARRBA	ARRBA					C	C	RBCA-MM-	O		ARRBA	C01	C01
☐	12		1409	04/01/2014 09	TLT	20140404	C	107.5	1.1	3	04/01/2	ARRBA	ARRBA					C	C	RBCA-MM-	O		ARRBA	C01	C01
☐	13		1410	04/01/2014 09	TLT	20140404	C	107.5	1.1	1	04/01/2	ARRBA	ARRBA					C	C	RBCA-MM-	O		ARRBA	C01	C01
☐	14		746	04/01/2014 09	OIH	20140719	C	60	.05	10	04/01/2	ARRBA	ARRBA					F	C	RBFC-MM-	B		ARRBA	C01	C01
☐	15		364	04/01/2014 09	NFLX	20140404	P	345	4.5	2	04/01/2	ARRBA	ARRBA					C	C	RBCX-MM-	B		ARRBA	C01	C01
☐	16		757	04/01/2014 09	PCLN	20160115	C	1260	196.8	1	04/01/2	ARRBA	ARRBA					C	C	RBCI-MM-	O		ARRBA	C01	C01
☐	17		378	04/01/2014 09	NDX	20140621	P	1300	.2	1	04/01/2	ARRBA	ARRBA					C	C	RBCX-MM-	O		ARRBA	C01	C01
☐	18		802	04/01/2014 09	HLF	20140816	P	52.5	7	1	04/01/2	ARRBA	ARRBA					C	C	RBCB-MM-	O		ARRBA	C01	C01

You can *change the order of your results* by clicking on the heading of the column you wish to use for a re-sort. In the example below, the results have been re-sorted by clicking on the Option Symbol column and sorting from A through Z (click again to sort from Z to A):

					Trade											Customer									
Select	Row #	Status	OCC Se...	Trade Date	Opti... 1 ▲	Exp Date	C/P	Strike $	Premium $	Vol	Sent ...	Exec TPID	Exec Do...	Customer...	Account...	FB	CMTA	C/F	O/C	Opt Data	Exec Type	B/S	Clr TPID	Firm Sy...	Clr Firm...
☐	48		3150	04/01/2014 09	BHI	20140419	C	60	5	11	04/01/2	ARRBA	ARRBA					C	C	RBCC-MM-	B		ARRBA	C01	C01
☐	43		3145	04/01/2014 09	BHI	20140419	C	60	5	11	04/01/2	ARRBA	ARRBA					C	C	RBCA-MM-	B		ARRBA	C01	C01
☐	47		3149	04/01/2014 09	BHI	20140419	C	60	5	11	04/01/2	ARRBA	ARRBA					C	C	RBCI-MM-	B		ARRBA	C01	C01
☐	42		3144	04/01/2014 09	BHI	20140419	C	60	5	11	04/01/2	ARRBA	ARRBA					C	C	RBCA-MM-	B		ARRBA	C01	C01
☐	41		3143	04/01/2014 09	BHI	20140419	C	60	5	11	04/01/2	ARRBA	ARRBA					C	C	RBCA-MM-	B		ARRBA	C01	C01
☐	40		3141	04/01/2014 09	BHI	20140419	C	60	5	20	04/01/2	ARRBA	ARRBA					C	C	RBCT-MM-	B		ARRBA	C01	C01
☐	38		3137	04/01/2014 09	BHI	20140419	C	60	5.05	12	04/01/2	ARRBA	ARRBA					C	C	RBCA-MM-	B		ARRBA	C01	C01
☐	39		3138	04/01/2014 09	BHI	20140419	C	60	5.05	53	04/01/2	ARRBA	ARRBA					C	C	RBCC-MM-	B		ARRBA	C01	C01
☐	37		3136	04/01/2014 09	BHI	20140419	C	60	5.05	25	04/01/2	ARRBA	ARRBA					C	C	RBCA-MM-	B		ARRBA	C01	C01
☐	36		3135	04/01/2014 09	BHI	20140419	C	60	5.05	20	04/01/2	ARRBA	ARRBA					C	C	RBCT-MM-	B		ARRBA	C01	C01
☐	44		3146	04/01/2014 09	BHI	20140419	C	60	5	11	04/01/2	ARRBA	ARRBA					C	C	RBCX-MM-	B		ARRBA	C01	C01
☐	45		3147	04/01/2014 09	BHI	20140419	C	60	5	11	04/01/2	ARRBA	ARRBA					C	C	RBCB-MM-	B		ARRBA	C01	C01
☐	46		3148	04/01/2014 09	BHI	20140419	C	60	5	11	04/01/2	ARRBA	ARRBA					C	C	RBCH-MM-	B		ARRBA	C01	C01
☐	3		432	04/01/2014 09	CIEN	20140517	C	23	1.15	3	04/01/2	ARRBA	ARRBA					C	C	RBCI-MM-	O		ARRBA	C01	C01
☐	21		461	04/01/2014 09	CLF	20140419	P	20	.59	39	04/01/2	ARRBA	ARRBA					C	C	RBCC-MM-	B		ARRBA	C01	C01
☐	20		460	04/01/2014 09	CLF	20140419	P	20	.59	30	04/01/2	ARRBA	ARRBA					C	C	RBCT-MM-	B		ARRBA	C01	C01
☐	7		437	04/01/2014 09	COF	20150117	C	75	6.4	1	04/01/2	ARRBA	ARRBA					C	C	RBCH-MM-	O		ARRBA	C01	C01
☐	50		1908	04/01/2014 09	FB	20140404	P	60	.8	1	04/01/2	ARRBA	ARRBA					C	C	RBCQ-MM-	B		ARRBA	C01	C01

*Note that you can also ***change the width of columns*** by clicking and holding either of the separator lines in the column heading and widening it or narrowing it.

To ***change the location of columns***, click and hold on the column header, then drag it to your desired location. In the example below, the CMTA column has been moved to the first position in the non-contractual trade detail portion of the user's trades:

				Trade													Customer							
Select	Row #	Status	OCC Se...	Trade Date	Opti... 1 ▲	Exp Date	C/P	Strike $	Premium $	Vol	Sent ...	CMTA	Exec TPID	Exec Do...	Customer...	Account...	FB	C/F	O/C	Opt Data	Exec Type	B/S	Clr TPID	Firm Sy...	Clr Firm...
☐	48		3150	04/01/2014 09	BHI	20140419	C	60	5	11	04/01/2		ARRBA	ARRBA				C	C	RBCC-MM	B		ARRBA	C01	C01
☐	43		3145	04/01/2014 09	BHI	20140419	C	60	5	11	04/01/2		ARRBA	ARRBA				C	C	RBCA-MM	B		ARRBA	C01	C01
☐	47		3149	04/01/2014 09	BHI	20140419	C	60	5	11	04/01/2		ARRBA	ARRBA				C	C	RBCI-MM	B		ARRBA	C01	C01
☐	42		3144	04/01/2014 09	BHI	20140419	C	60	5	11	04/01/2		ARRBA	ARRBA				C	C	RBCA-MM	B		ARRBA	C01	C01
☐	41		3143	04/01/2014 09	BHI	20140419	C	60	5	11	04/01/2		ARRBA	ARRBA				C	C	RBCA-MM	B		ARRBA	C01	C01
☐	40		3141	04/01/2014 09	BHI	20140419	C	60	5	20	04/01/2		ARRBA	ARRBA				C	C	RBCT-MM	B		ARRBA	C01	C01
☐	38		3137	04/01/2014 09	BHI	20140419	C	60	5.05	12	04/01/2		ARRBA	ARRBA				C	C	RBCA-MM	B		ARRBA	C01	C01
☐	39		3138	04/01/2014 09	BHI	20140419	C	60	5.05	53	04/01/2		ARRBA	ARRBA				C	C	RBCC-MM	B		ARRBA	C01	C01
☐	37		3136	04/01/2014 09	BHI	20140419	C	60	5.05	25	04/01/2		ARRBA	ARRBA				C	C	RBCA-MM	B		ARRBA	C01	C01
☐	36		3135	04/01/2014 09	BHI	20140419	C	60	5.05	20	04/01/2		ARRBA	ARRBA				C	C	RBCT-MM	B		ARRBA	C01	C01
☐	44		3146	04/01/2014 09	BHI	20140419	C	60	5	11	04/01/2		ARRBA	ARRBA				C	C	RBCX-MM	B		ARRBA	C01	C01
☐	45		3147	04/01/2014 09	BHI	20140419	C	60	5	11	04/01/2		ARRBA	ARRBA				C	C	RBCB-MM	B		ARRBA	C01	C01
☐	46		3148	04/01/2014 09	BHI	20140419	C	60	5	11	04/01/2		ARRBA	ARRBA				C	C	RBCH-MM	B		ARRBA	C01	C01
☐	3		432	04/01/2014 09	CIEN	20140517	C	23	1.15	3	04/01/2		ARRBA	ARRBA				C	C	RBCI-MM	O		ARRBA	C01	C01
☐	21		461	04/01/2014 09	CLF	20140419	P	20	.59	39	04/01/2		ARRBA	ARRBA				C	C	RBCC-MM	B		ARRBA	C01	C01
☐	20		460	04/01/2014 09	CLF	20140419	P	20	.59	30	04/01/2		ARRBA	ARRBA				C	C	RBCT-MM	B		ARRBA	C01	C01
☐	7		437	04/01/2014 09	COF	20150117	C	75	6.4	1	04/01/2		ARRBA	ARRBA				C	C	RBCH-MM	O		ARRBA	C01	C01
☐	50		1908	04/01/2014 09	FB	20140404	P	60	.8	1	04/01/2		ARRBA	ARRBA				C	C	RBCQ-MM	B		ARRBA	C01	C01

Depending upon the size of your PC display, you may have additional information that can be viewed by *utilizing the slider bars* found on the right side and bottom of the GEMS window:

When performing a *multi-update*, if you have narrowed your search results precisely to those trades which you wish to change, rather than checking the box next to each trade individually, you can check the first box, then hold down the <Ctrl> key and depress the letter "A" to *select all of them simultaneously*:

					Trade											Customer									
Select	R... 1 ▲	Status	OCC Se...	Trade Date	Option ...	Exp Date	C/P	Strike $	Premium $	Vol	Sent ...	Exec TPID	Exec Do...	Customer...	Account...	FB	CMTA	O/C	C/F	Opt Data	Exec Type	B/S	Clr TPID	Firm Sy...	Clr Firm...
✔	1		3135	04/01/2014 09	BHI	20140419	C	60	5.05	20	04/01/2	ARRBA	ARRBA					C	C	RBCT-MM-		B	ARRBA	C01	C01
✔	2		3136	04/01/2014 09	BHI	20140419	C	60	5.05	25	04/01/2	ARRBA	ARRBA					C	C	RBCA-MM-		B	ARRBA	C01	C01
✔	3		3137	04/01/2014 09	BHI	20140419	C	60	5.05	12	04/01/2	ARRBA	ARRBA					C	C	RBCA-MM-		B	ARRBA	C01	C01
✔	4		3138	04/01/2014 09	BHI	20140419	C	60	5.05	53	04/01/2	ARRBA	ARRBA					C	C	RBCC-MM-		B	ARRBA	C01	C01

For those *users with access to trades for multiple companies*, GEMS has a feature which saves time in the event that you have performed a search only to realize that you had selected the wrong company in which to perform that search:

In the example below, the user has logged in as "Archipelago Securities, LLC" and then performed the search shown:

If the operator then realizes that he/she had meant to be logged in as "Pershing LLC", simply log out (do **_not_** click "Clear All" and do **_not_** close your browser). Once back at the GEMS log-in screen, sign in again, select "Pershing LLC" as the company you wish to sign in as and your original search criteria will still be present, but the incorrect search results will have been cleared:

Users who have access to only a single company will, on the other hand, need to employ the **Clear All function** below the Trade Search criteria if they wish to clear all of the elements of a previous search:

Please note that the date will always default to the current date and the "From"/"To" time will always default to a four hour window. In the example above, at 13:31 ET, the From/To times will change to 9:31 to 13:31 and then move forward throughout the remainder of the day. The maximum time spread allowed by GEMS is eight hours.

Trade data availability in GEMS consists of the current calendar month and all of the previous calendar month:

The "Trade Recall" function can be utilized to recall a manual trade add as well as to recall an adjustment request or a cancel request sent in error if it has not yet been approved by the contra-party. To recall a request, click on the "Pending Contra" link on your Dashboard:

The trade will be displayed in the Trade Search tab:

Highlight the trade:

Then click "Trade Edit" at the bottom of the search grid:

The "Trade Adjust" box will open and at the bottom you will see that "Recall" is available:

*Please note that "Recall" is not available when the contra-party has either accepted or rejected a trade add, cancel or adjustment request.