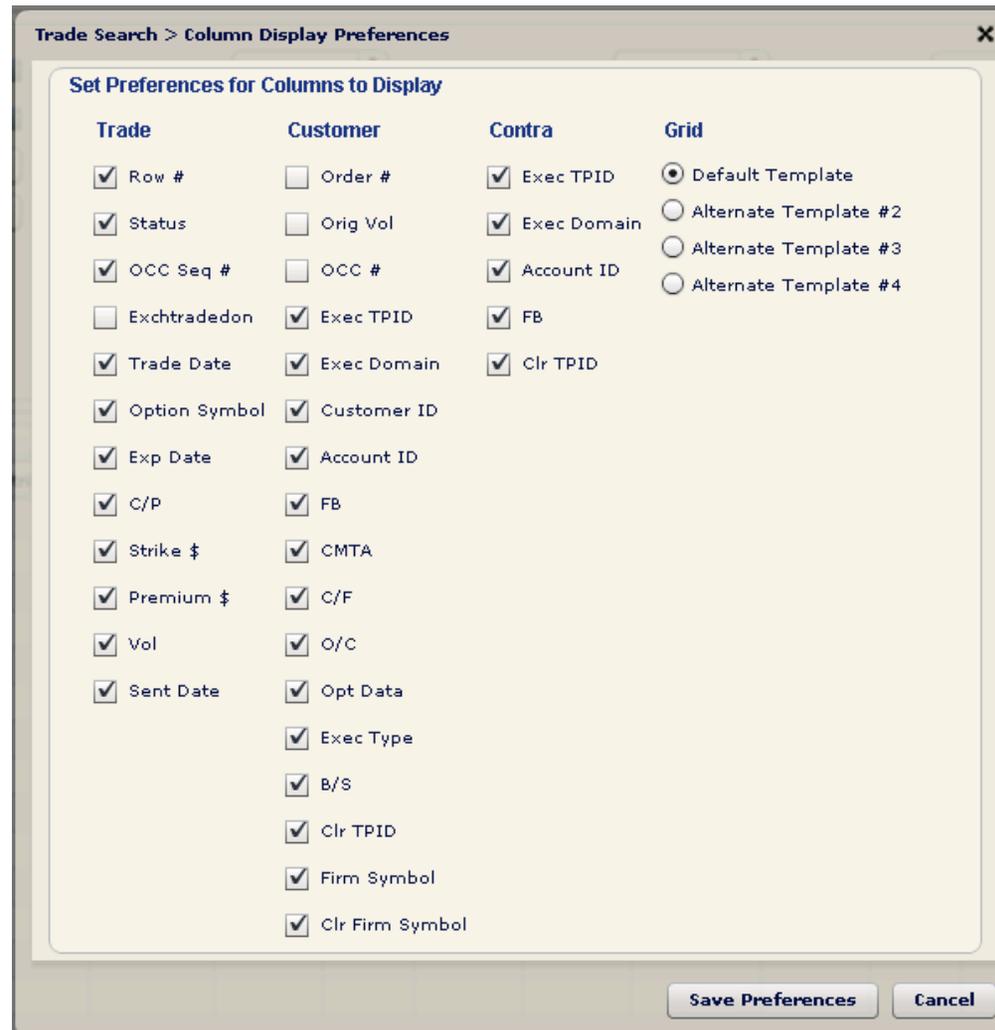




GLOBAL EXECUTION MANAGEMENT SYSTEM (FOR NYSE AMEX/ARCA OPTIONS)

----- **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:



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...
<input type="checkbox"/>	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
<input type="checkbox"/>	2		729	04/01/2014 09	PRAN	20141122	C	3	.85	11	04/01/2	ARRBA	ARRBA					C	C	RBCH-MM	O		ARRBA	C01	C01
<input type="checkbox"/>	3		432	04/01/2014 09	CIEN	20140517	C	23	1.15	3	04/01/2	ARRBA	ARRBA					C	C	RBCH-MM	O		ARRBA	C01	C01
<input type="checkbox"/>	4		736	04/01/2014 09	PII	20140419	P	140	2.85	5	04/01/2	ARRBA	ARRBA					C	C	RBCH-MM	O		ARRBA	C01	C01
<input type="checkbox"/>	5		737	04/01/2014 09	PKG	20140719	C	70	3.9	6	04/01/2	ARRBA	ARRBA					C	C	RBCH-MM	O		ARRBA	C01	C01
<input type="checkbox"/>	6		738	04/01/2014 09	PKG	20140719	C	70	3.9	4	04/01/2	ARRBA	ARRBA					C	C	RBCH-MM	O		ARRBA	C01	C01
<input type="checkbox"/>	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
<input type="checkbox"/>	8		740	04/01/2014 09	PII	20140419	P	140	3	10	04/01/2	ARRBA	ARRBA					C	C	RBCH-MM	B		ARRBA	C01	C01
<input type="checkbox"/>	9		307	04/01/2014 09	YUM	20140419	C	75	1.45	4	04/01/2	ARRBA	ARRBA					C	C	RBCH-MM	B		ARRBA	C01	C01
<input type="checkbox"/>	10		308	04/01/2014 09	YUM	20140419	C	75	1.45	6	04/01/2	ARRBA	ARRBA					C	C	RBCH-MM	O		ARRBA	C01	C01
<input type="checkbox"/>	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
<input type="checkbox"/>	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
<input type="checkbox"/>	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
<input type="checkbox"/>	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
<input type="checkbox"/>	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
<input type="checkbox"/>	16		757	04/01/2014 09	PCLN	20160115	C	1260	196.8	1	04/01/2	ARRBA	ARRBA					C	C	RBCH-MM	O		ARRBA	C01	C01
<input type="checkbox"/>	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
<input type="checkbox"/>	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...
<input type="checkbox"/>	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
<input type="checkbox"/>	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
<input type="checkbox"/>	47		3149	04/01/2014 09	BHI	20140419	C	60	5	11	04/01/2	ARRBA	ARRBA					C	C	RBCH-MM	B		ARRBA	C01	C01
<input type="checkbox"/>	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
<input type="checkbox"/>	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
<input type="checkbox"/>	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
<input type="checkbox"/>	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
<input type="checkbox"/>	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
<input type="checkbox"/>	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
<input type="checkbox"/>	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
<input type="checkbox"/>	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
<input type="checkbox"/>	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
<input type="checkbox"/>	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
<input type="checkbox"/>	3		432	04/01/2014 09	CIEN	20140517	C	23	1.15	3	04/01/2	ARRBA	ARRBA					C	C	RBCH-MM	O		ARRBA	C01	C01
<input type="checkbox"/>	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
<input type="checkbox"/>	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
<input type="checkbox"/>	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
<input type="checkbox"/>	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...
<input type="checkbox"/>	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
<input type="checkbox"/>	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
<input type="checkbox"/>	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
<input type="checkbox"/>	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
<input type="checkbox"/>	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
<input type="checkbox"/>	40		3141	04/01/2014 09	BHI	20140419	C	60	5	20	04/01/2		ARRBA	ARRBA				C	C	RBCI-MM	B		ARRBA	C01	C01
<input type="checkbox"/>	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
<input type="checkbox"/>	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
<input type="checkbox"/>	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
<input type="checkbox"/>	36		3135	04/01/2014 09	BHI	20140419	C	60	5.05	20	04/01/2		ARRBA	ARRBA				C	C	RBCI-MM	B		ARRBA	C01	C01
<input type="checkbox"/>	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
<input type="checkbox"/>	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
<input type="checkbox"/>	46		3148	04/01/2014 09	BHI	20140419	C	60	5	11	04/01/2		ARRBA	ARRBA				C	C	RBCI-MM	B		ARRBA	C01	C01
<input type="checkbox"/>	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
<input type="checkbox"/>	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
<input type="checkbox"/>	20		460	04/01/2014 09	CLF	20140419	P	20	.59	30	04/01/2		ARRBA	ARRBA				C	C	RBCI-MM	B		ARRBA	C01	C01
<input type="checkbox"/>	7		437	04/01/2014 09	COF	20150117	C	75	6.4	1	04/01/2		ARRBA	ARRBA				C	C	RBCI-MM	O		ARRBA	C01	C01
<input type="checkbox"/>	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:

Trade

Select	Row #	Status	OCC Se...	Trade Date	Option ...	Exp Date	C/P	Strike \$	Premium \$	Vol	Sent ...	OCC #	Exec TPID	Exec Do...	Customer...	Account...	FB	CMTA	C/F	O/C	Opt Data	Exec Type	B/S	Clr TPID	Firm Sy...
<input type="checkbox"/>	1		728	04/01/2014	PRAN	20141122	C	3	.85	9	04/01/2	436	ARRBA	ARRBA					C	C	RBCB-MM-	O	ARRBA	C01	
<input type="checkbox"/>	2		729	04/01/2014	PRAN	20141122	C	3	.85	11	04/01/2	436	ARRBA	ARRBA					C	C	RBCI-MM-	O	ARRBA	C01	
<input type="checkbox"/>	3		432	04/01/2014	CIEN	20140517	C	23	1.15	3	04/01/2	436	ARRBA	ARRBA					C	C	RBCI-MM-	O	ARRBA	C01	
<input type="checkbox"/>	4		736	04/01/2014	PII	20140419	P	140	2.85	5	04/01/2	436	ARRBA	ARRBA					C	C	RBCI-MM-	O	ARRBA	C01	
<input type="checkbox"/>	5		737	04/01/2014	PKG	20140719	C	70	3.9	6	04/01/2	436	ARRBA	ARRBA					C	C	RBCI-MM-	O	ARRBA	C01	
<input type="checkbox"/>	6		738	04/01/2014	PKG	20140719	C	70	3.9	4	04/01/2	436	ARRBA	ARRBA					C	C	RBCI-MM-	O	ARRBA	C01	
<input type="checkbox"/>	7		437	04/01/2014	COF	20150117	C	75	6.4	1	04/01/2	436	ARRBA	ARRBA					C	C	RBCB-MM-	O	ARRBA	C01	
<input type="checkbox"/>	8		740	04/01/2014	PII	20140419	P	140	3	10	04/01/2	436	ARRBA	ARRBA					C	C	RBCI-MM-	B	ARRBA	C01	
<input type="checkbox"/>	9		307	04/01/2014	YUM	20140419	C	75	1.45	4	04/01/2	436	ARRBA	ARRBA					C	C	RBCI-MM-	B	ARRBA	C01	
<input type="checkbox"/>	10		308	04/01/2014	YUM	20140419	C	75	1.45	6	04/01/2	436	ARRBA	ARRBA					C	C	RBCI-MM-	O	ARRBA	C01	
<input type="checkbox"/>	11		1408	04/01/2014	TLT	20140404	C	107.5	1.1	3	04/01/2	436	ARRBA	ARRBA					C	C	RBCA-MM-	O	ARRBA	C01	
<input type="checkbox"/>	12		1409	04/01/2014	TLT	20140404	C	107.5	1.1	3	04/01/2	436	ARRBA	ARRBA					C	C	RBCA-MM-	O	ARRBA	C01	
<input type="checkbox"/>	13		1410	04/01/2014	TLT	20140404	C	107.5	1.1	1	04/01/2	436	ARRBA	ARRBA					C	C	RBCA-MM-	O	ARRBA	C01	
<input type="checkbox"/>	14		746	04/01/2014	OIH	20140719	C	60	.05	10	04/01/2	436	ARRBA	ARRBA					F	C	RBFC-MM-	B	ARRBA	C01	
<input type="checkbox"/>	15		364	04/01/2014	NFLX	20140404	P	345	4.5	2	04/01/2	436	ARRBA	ARRBA					C	C	RBCX-MM-	B	ARRBA	C01	
<input type="checkbox"/>	16		757	04/01/2014	PCLN	20160115	C	1260	196.8	1	04/01/2	436	ARRBA	ARRBA					C	C	RBCI-MM-	O	ARRBA	C01	
<input type="checkbox"/>	17		378	04/01/2014	NDX	20140621	P	1300	.2	1	04/01/2	436	ARRBA	ARRBA					C	C	RBCX-MM-	O	ARRBA	C01	
<input type="checkbox"/>	18		802	04/01/2014	HLF	20140816	P	52.5	7	1	04/01/2	436	ARRBA	ARRBA					C	C	RBCB-MM-	O	ARRBA	C01	

Page 1 of 1

Export to Excel

Refresh Trade Add... Trade Edit... Trade Cancel Split on Selected Trade Copy Trade Multi Update History on Selected Trade Online Extract On Selected Trade

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...
<input checked="" type="checkbox"/>	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
<input checked="" type="checkbox"/>	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
<input checked="" type="checkbox"/>	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
<input checked="" type="checkbox"/>	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:

NYSE Euronext > Global Execution Manager > NYSE Arca Options

SF_Trade_Processing SF_Trade_Processing Archipelago

Dashboard Trade Search Reports Import Cancel/Adjust

Search by Series Search by COrderID Search by OCC Seq No

* 1 of 3 Fields Below Required

Symbol: aapl
 Query Date: 04/01/2014
 From (EST time): 09:30:00
 To (EST time): 13:30:00
 Call/Put: [Dropdown]
 Expiration Date: [Calendar]
 Strike Price: 540
 Clearing TPID: [Text]
 Buy/Sell: [Dropdown]
 Execution Type: [Dropdown]
 Floor Broker: [Text]
 Account ID: [Text]
 Executing Domain: [Text]
 CustFirm: [Dropdown]
 Premium Price: [Text]
 CMTA: [Text]

Clear All Search Trades

Trade										Customer												
Select	Row #	Status	Trade Date	Option ...	Exp Date	C/P	Strike \$	Premium \$	Vol	Order #	Orig Vol	OCC #	Exec TPID	Exec Do...	Account...	FB	CMTA	O/C	C/F	Opt Data	B/S	Clr TPID
<input type="checkbox"/>	1		04/01/2014 09	AAPL	20140404	C	540	3.05	3	OA140401	3	436	ARRBA	ARRBA				C	C	RBCQ-MM-		ARRBA
<input type="checkbox"/>	2		04/01/2014 09	AAPL	20140404	C	540	3	1	OA140401	1	436	ARRBA	ARRBA				C	C	RBCA-MM-		ARRBA
<input type="checkbox"/>	3		04/01/2014 09	AAPL	20140404	C	540	3	1	OA140401	1	436	ARRBA	ARRBA				C	C	RBCA-MM-		ARRBA
<input type="checkbox"/>	4		04/01/2014 09	AAPL	20140404	C	540	2.81	3	OA140401	3	436	ARRBA	ARRBA				C	C	RBCZ-MM-		ARRBA
<input type="checkbox"/>	5		04/01/2014 09	AAPL	20140404	C	540	2.81	3	OA140401	3	436	ARRBA	ARRBA				C	C	RBCQ-MM-		ARRBA
<input type="checkbox"/>	6		04/01/2014 09	AAPL	20140404	C	540	2.66	3	OA140401	3	436	ARRBA	ARRBA				C	C	RBCQ-MM-		ARRBA
<input type="checkbox"/>	7		04/01/2014 09	AAPL	20140404	C	540	2.65	5	OA140401	5	436	ARRBA	ARRBA				C	C	RBCQ-MM-		ARRBA
<input type="checkbox"/>	8		04/01/2014 09	AAPL	20140517	P	540	20.9	7	OA140401	7	436	ARRBA	ARRBA				C	C	RBCA-MM-		ARRBA
<input type="checkbox"/>	9		04/01/2014 09	AAPL	20140517	P	540	20.9	2	OA140401	2	436	ARRBA	ARRBA				C	C	RBCA-MM-		ARRBA
<input type="checkbox"/>	10		04/01/2014 09	AAPL	20140404	P	540	4.91	3	OA140401	3	436	ARRBA	ARRBA				C	C	RBCQ-MM-		ARRBA
<input type="checkbox"/>	11		04/01/2014 09	AAPL	20140404	P	540	4.9	10	OA140401	10	436	ARRBA	ARRBA				C	C	RBCQ-MM-		ARRBA
<input type="checkbox"/>	12		04/01/2014 09	AAPL	20140404	P	540	4.91	3	OA140401	3	436	ARRBA	ARRBA				C	C	RBCZ-MM-		ARRBA
<input type="checkbox"/>	13		04/01/2014 09	AAPL	20140404	P	540	4.9	3	OA140401	3	436	ARRBA	ARRBA				C	C	RBCZ-MM-		ARRBA
<input type="checkbox"/>	14		04/01/2014 10	AAPL	20140404	C	540	2.63	6	OA140401	6	436	ARRBA	ARRBA				C	C	RBCQ-MM-		ARRBA
<input type="checkbox"/>	15		04/01/2014 10	AAPL	20140404	C	540	2.61	3	OA140401	3	436	ARRBA	ARRBA				C	C	RBCQ-MM-		ARRBA
<input type="checkbox"/>	16		04/01/2014 10	AAPL	20140419	C	540	6.65	1	OA140401	1	436	ARRBA	ARRBA				C	C	RBCZ-MM-		ARRBA
<input type="checkbox"/>	17		04/01/2014 12	AAPL	20140404	C	540	2.87	1	OA140401	1	436	ARRBA	ARRBA				C	C	RBCQ-MM-		ARRBA

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:

* 1 of 3 Fields Below Required

Status: Matched/Cleared *

Symbol

OCC Clr #

Executing Domain

Query Date * 05/15/2014

Expiration Date

Execution Type

CustFirm

From (EST time) * 09:30:00

Strike Price

Floor Broker

Premium Price

To (EST time) * 13:30:00

Clearing TPID

Account ID

CMTA

Call/Put

Buy/Sell

Clear All

Search Trades

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:

Query Date * 05/15/2014

Expiration Date

Execution Type

CustFirm

S	M	T	W	T	F	S
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

Query Date * 04/01/2014

Expiration Date

Execution Type

CustFirm

S	M	T	W	T	F	S
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30			

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 screenshot displays a dashboard with three main sections:

- System Status:** Includes a "Refresh..." button and a "History..." button. Below is a table with columns: Type, Message, StartTime, and End Time. The table is currently empty. A note below the table states: "NYSE GEMS Status is designed to provide you with quick, easy to read alerts, issue updates and resolution notices regarding the status of issues regarding NYSE systems".
- Action Required:** Includes a "Refresh" button and a table with columns: Time and Event. The table is currently empty.
- Action Positions:** Features a large yellow circular gauge on the left. On the right, there are four status indicators:
 - Approved Trades: 0 Approved Trades
 - Rejected Trades: 0 Rejects
 - Pending Contra: 1 Pending Contra** (This link is highlighted with a red box in the original image)
 - Pending Trade Official: 0 Trade OfficialsA "Refresh" button is located at the bottom left of this section.

The trade will be displayed in the Trade Search tab:

Status: Pending ***

* 1 of 3 Fields Below Required

Query Date: 7/25/2014 From (EST time): 00:00:00 To (EST time): 23:59:59 Call/Put: Buy/Sell

Symbol: OCC Clr #: Executing Domain: Expiration Date: Execution Type: CustFirm: Strike Price: Floor Broker: Premium Price: Clearing TPID: Account ID: CMTA:

Clear All Search Trades

Trade											Customer							Contra Side						
Select	Row #	Status	OCC Se...	Trade Date	Option ...	Exp Date	C/P	Strike \$	Premium \$	Vol	Order #	Orig Vol	OCC #	Exec TPID	Exec Do...	Account...	FB	CMTA	Opt Data	Clr TPID	Exec TPID	Exec Do...	Account ID	FB
<input type="checkbox"/>	1	C	0	07/25/2014 11:01	AAPL	20140816	C	50	1	1	OZ14072E	1	233	CMPSO	D92-CMPE				TEST TRAI	CMPSB	ARRBA			

Highlight the trade:

Status: Pending ***

* 1 of 3 Fields Below Required

Query Date: 7/25/2014 From (EST time): 00:00:00 To (EST time): 23:59:59 Call/Put: Buy/Sell

Symbol: OCC Clr #: Executing Domain: Expiration Date: Execution Type: CustFirm: Strike Price: Floor Broker: Premium Price: Clearing TPID: Account ID: CMTA:

Clear All Search Trades

Trade											Customer							Contra Side						
Select	Row #	Status	OCC Se...	Trade Date	Option ...	Exp Date	C/P	Strike \$	Premium \$	Vol	Order #	Orig Vol	OCC #	Exec TPID	Exec Do...	Account...	FB	CMTA	Opt Data	Clr TPID	Exec TPID	Exec Do...	Account ID	FB
<input type="checkbox"/>	1	C	0	07/25/2014 11:01	AAPL	20140816	C	50	1	1	OZ14072E	1	233	CMPSO	D92-CMPE				TEST TRAI	CMPSB	ARRBA			

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

Page 1 of 1

Export to Excel

Refresh Trade Add... Trade Edit... Trade Cancel Split on Selected Trade Copy Trade Multi Update History on Selected Trade Online Extract On Selected Trade

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

The screenshot shows a "Trade Adjust" dialog box with the following fields and values:

- Common fields:**
 - Trade Date: 07/25/2014
 - Trade Time (EST): 11 : 58 : 22
 - Volume: 1
 - Premium Price: 1
 - Option Symbol: AAPL
 - Expiration Date: 08/16/2014
 - Strike Price: 50
 - Call/Put: Call
 - Manual Reversal:
 - Cap Strategy:
- Buy Side:**
 - Open/Close: Close
 - Account ID: [empty]
 - CMTA: [empty]
 - CustFirm: Firm
 - Floor Broker: [empty]
 - Customer ID: [empty]
 - Execution Domain: D92-CMP50
 - Executing TPID: CMP50
 - Optional Data: TEST TRADE
- Sell Side:**
 - Market Maker Badge: [empty]
 - Floor Broker: [empty]
 - Executing TPID: ARRBA
- Reason:** TEST TRADE

At the bottom right, the "Recall" button is highlighted with a red box, and the "Cancel" button is also visible.

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