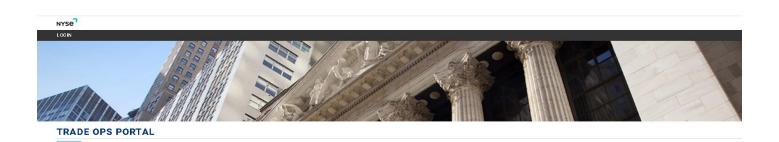


# NYSE PILLAR TRADE OPS PORTAL (TOP)

# POST TRADE ADJUSTMENT USER GUIDE



Version 1.4

September 2023

New York Stock Exchange

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#### **SUMMARY**

This user guide provides directions on how to perform various post trade adjustments on NYSE TOP.

For details on 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 <sup>[]</sup> (allows the entire page to display trade information)
- Help Button O 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 Z Appears only with the "Allocated" trades
- Edit Icon  $\square$  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 <u>CRS@nyse.com</u>.

NYSE
Username
Password
LOGIN
By clicking on the "Login" button, you indicate that you have reviewed and accepted the <b>Terms of Use. [PDF]</b>
Forgot Password   Change Password   Request SSO Global II



#### DASHBOARD

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

#### **OVERVIEW**

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

NYSE	
AMERICAN ARCA ARCA OPTIONS CHICAGO NYSE NATIONAL	
DASHEDARDS OVERVIEW	
TRANSACTION DASHBOARD	
Entitlement	Firm
Broker Firm	OMMA
Sitahus	Count
Contra Approval Panding	34
Completed	3
Recated	1
Error	3
Contra Rejected	1
Last Updated @ 14:35:09.888 EST	

### **ARCA/AMEX Options**

Select the "Trade Summary" under ARCA or AMEX Options.

ARCA OPTIONS SYSTEM					
araicm					
DASHBOARDS	FIRM INFORMATION	RISK MANAGEMENT	REPORTS	SETTINGS	
Overview	Live Orders	Risk Monitor	Activity Report	EOD - F/R Jobs	
	My Firm MPIDs	Risk Settings		EOD - Trade Action Block	
	My Sessions			GBO Reference Data	
	Trade Summary			RDL Settings	
Status	Count				



#### **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).

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mmr00000000         mmr00000000         mmr000000000         mmr00000000000000000000000000000000000
tearing #         MMD         CMTA         Badge         Open/Close         Customer or Firm           Close #         Close for fill         Count         Count         Count         Count         Count
CC Seq #     Side     Client Order Id     Account     Optional Data
CD Seg # Slobe Client Order Id Account Optional Data
Control Customer (3de
Event Time         Obj         OSI Ros         Expiration Date         Strike Price         Price         OCC Seq #         Side         Client Order Id         MMID         Badge         Clearing #         Open/Close         Customer or Firm         CMTA         Account         Cap Strate

### Allocated

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

ARCA OPTI		STEM																			BEE	.000
IRM INFOR		STEM																				
		IMARY																				c
LLOCATED	FLOOR T	RADES TRANSACT	IONS TR	ANSACTIC	N HISTOR	Y																
ntitlement				Firm				Original T	rade Date			Ref Exec Time				Underlyir	ng Symbol		OSI Root Sy	mbol		
Broker Firm			~	TRAFD	LLC		~	07/13/2	023			hh:mm:ss.sss	555555 10	hh:mm:	55.55555555							
piration Da				Strike Pr	ice			Put/Call				Qty				Price			MPID			
nm/dd/yyy	У										~		т	•			т	0				
earing #				MMID				CMTA				Badge				Open/Clo	ose		Customer o	r Firm		
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CC Seq #				Side				Client Ore	ler Id			Account				Optional	Data					
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SEARCH	RESET	MORE																		M	JUTI-EDIT 🚺 🛐	a
								Co	mmon											Ci	istomer Side	
		Ref Exec Time	Event Te	me	Qty	OSI Root Symbol	Expiration D	ate	Strike Price	Put/Call	Price	OCC Seq #	MPID	Side	MMID	Badge	Clearing #	Customer or Firm	Open/Close	CMTA	Client Order I	d
	$\nabla$	07/13/2023 15:	07/13/20	23	2,500	IBM	07/21/2023		70.00000000	Call	1.200	191	TREX	BUY		TF01	355	Firm	Close	161	589PX4	
	$\nabla$	07/13/2023 15:	07/13/20	23	2,500	IBM	07/21/2023		70.0000000	Call	1.200	191	TRFX	SELL		TF01	355	Customer	Close	161	589PX4	
	$\nabla$	07/13/2023 15:	07/13/20	23	2,500	IBM	07/21/2023		65.00000000	Call	1.800	190	TREX	BUY		TF01	355	Customer	Close	161	589PX4	
	$\nabla$	07/13/2023 15:	07/13/20	23	2,500	IBM	07/21/2023		65.0000000	Call	1.800	190	TRFX	SELL		TF01	355	Firm	Close	161	589P×4	



## 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".

TRADE SUMMARY Trade Action							
ADJUST SPLIT (Change) Resean Code Non-Contractual Feld Change Customer Elde (Buy) Customer Elde (Buy) Customer — — — — — — — — — — — — — — — — — — —	MPID THI X Account THI X Account Account	MMID MMID	Clearing # 10	Open/Close Close Open/Close Close	Cap Strategy Id	Badge TFD1 ~ Badge TFD1 ~	Centra side: Clearing 4: 333 Centra side: CMTA: 161 Centra side: CMTA: 161 Centra side: CMEON ere F7mr: 0 Centra side: CMEON: TETX Centra side: CMEON: TETX Customer side: CMTA: 161 Customer sid
161 SUBMT RESET						~	Original Deal (E: 65296713290739 Deal (E: 16677060513667964 Proc: 0.01 Orig: 90 Expiration Date: 00:19/2022 Original Trade Deal: 00:19/2022 Original Trade De

- User can select the "Adjust" tab.
- If the user is on both sides of the trade, they can designate for each allocation record. Please pay attention to the "Buy" and the "Sell" next to the "Customer Side" and the "Contra Side" in the parentheses.
- 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". TOP can update up to 50 trades on the current trading day and 5 trades on the prior trading day.

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																			,
RADE SUMMARY																			c
LLOCATED FLOOR TRADES TRANSA	CTIONS T	RANSACTI	ON HISTOR	RY															
ntitlement		Firm				Original Trade Date				Ref Exec Time	,			Underlyin	g Symbol		OSI Root Sy	mbol	
iroker Firm	~	TRAFE	( LLC		~	07/13/2023				hh:mm:ss.ss	5555555 T	hh:mm:	89.855885558						
piration Date		Strike P	rice			Put/Call				Qty				Price			MPID		
nm/dd/yyyy									~		T	•				то			
earing #		MMID				CMTA				Badge				Open/Clo	se		Customer o	Firm	
													~			~			
C Seq #		Side			~	Client Order Id				Account				Optional	Data				
EARCH RESET MORE																		MULT	I-EDIT 4 🛛 🔂 🔡
						Common													
Ref Exec Time	Event 1	Time	Qty	OSI Root Symbol	Expiration	Date Strike	Price   F	Put/Cell	Price	OCC Seq #	MPID	Side	MMID	Badge	Clearing #	Customer or Firm	Open/Close	CMTA	Client Order Id
O7/13/2023 15:	07/13/2	2023	2,500	IBM	07/21/2023	3 70.0000	0000 C	ali 1	.200	191	TRFX	BUY		TF01	355	Firm	Close	161	589PX4
<b>07/13/2023 15</b> :	07/13/2	2023	2,500	IBM	07/21/2023	3 70.0000	0000 C	all 1	.200	191	TRFX	SELL		TF01	355	Customer	Close	161	589PX4
	07/13/2	2023	2.500	IBM	07/21/2023	3 65.0000	0000 C	all 1	.800	190	TRFX	BUY		TF01	355	Customer	Close	161	589PX4
O7/13/2023 15:	011100																		

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This will enable the "Multiple-Edit" icon. User will then select the "MULTI- EDIT" Icon. All adjustments made in Multi-Edit will be highlighted in yellow.

- User can adjust individual trade records in the following fields: CustFirm, Open/Close, Clearing, MMID, SubmittingBrokerID for the same MPID, CMTA, Cap Strategy, Optional Data, and Account (Actionable Identifier).
- User can adjust CMTA, Clearing #, Open/Close, Badge, Account (Actionable Identifier), Cap Strategy, Optional Data in bulk using the filter box.
- Trades with different values for Open/Close and Cust/Firm will automatically default to "Keep as is" and keep its value.
- 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 trades that have been selected)

hange Reason Code																				
ion-Contractual Field Change									~											
stomer Side (-)																				
stomer or Firm Keep as is -	~	MPID				IMID			35	aring #			~	Open/Close Open			~	Badge TF01		
														open						
4TA 61				<ul> <li>Account</li> <li>Keep as is</li> </ul>						tional Data ee test						Cap Str	ategy Id			
1				<ul> <li>Keep as is</li> </ul>					* De	ee test										
te: 1. In the table below, updated values																				
ote: 1. In the table below, updated values 2. To blank out a text (input) field se	lect existing text a	and delete																		•
ote: 1. In the table below, updated values 2. To blank out a text (input) field se				r more spaces Expiration Date	Strike Price	Put/Call	Price	Customer or Firr	n MPID	Open/	lose	Clearing #	MMID	Badge		CMTA	Account	Oplional Data	Cap Strategy Id	•
ote: 1. In the table below, updated values 2. To blank out a text (input) field se Ref Exec Time	lect existing text a	and delete	OSI Ro		Strike Price 65	Put/Call Call	Price	Customer or Firr Customer	n MPID ~ TRFX		lose	Clearing # 355 ~	MMID	Badge TF01	~	CMTA 161	Account chua-ai	Optional Data	Cap Strategy Id	
Ne: 1. In the table below, updated value: 2. To blank out a text (input) field se Ref Exec Time 09/12/2023 15:11:46.112966029	lect existing text a	and delete Qty	OSI Ro	Expiration Date						Oper			MMID							v
DURMAT         APPLY         RESET           1.         In the table below, updated value:         2.           2.         To blank out a text (input) field se           Ref Exec Time         09/12/2022 15:11.46.         112966029           09/12/2023 15:11.46.         112966029         00/12/2023 15:11.46.	Side BUY	Qty 45	OSI Ro IBM IBM	Expiration Date 09/15/2023	65	Call	1.92	Customer	✓ TRFX	C Oper	~	355 ~	MMID	TF01	~	161	chua-ai	Bee test		•

### **Optional Data .\* Wild Card Filter**

TOP supports a wildcard parameter using the % sign.

- User can use %abc and TOP search will return abc, aabc, and xyzabc, but not xabcd
- User can use it in any position in a search, I.e., a%bc, abc%, or %abc%
- User can use it as a regular character if preceded by backslash, I.e., a\%b, TOP will look for an exact match on a%b

### 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".

												AN ICE EXCHANGE
TRADE SUMMARY												×
ADJUST SPLIT Slice Quantity 900 Customer Side (Buy) Customer or Firm Customer CMTA		(Change) Reason Co Non-Contractual Fie MPID TRFX		MMID	Clearing # 551 Optional Data	~	Open/Close Close	Cap Strategy Id	Badge TF01	÷	Contra side: Account: @TFOH Contra side: Clearing #: 551 Contra side: Customer or Firm: 1 Contra side: WHD: TFFX Contra side: Open/Close: 0 Contra side: Badge: TF01 Customer side: Account: OTFOH	
Contra Side (Sell) Customer or Firm Firm		MPID TRFX		MMID	Clearing # 551	~	Open/Close Close	· · · · · · · · · · · · · · · · · · ·	Badge TF01	~ ~	Customer side: Clearing #: 551 Customer side: Customer or Firm: 0 Customer side: MPID: TRFX Customer side: Open/Close: C Customer side: Bedge: TF01	
ADD SLICE RESET			Account GTFOH		Optional Data			Cap Strategy Id		÷	Original Deal Id: 562967133290505 Deal Id: 562967133290635 Price: 16.6 Qty: 900 Expiration Date: 00/19/2022	
Total Splits           0 / 900           Row #         Slice Quantity	Change I	Reason	Customer side	MPID Customer side: Open/0	lose Customer side: Custome	r or Firm	Customer side: MMID	Customer side: C	Dearing # Customer sid	6: 84	Original Trade Date: 08/16/2022 OSI Root Symbol: IBM Search	
				(i) No rec	ords found for filter criteria						V Hide Empty Properties	

- Select the "Split" tab.
- User can indicate either side of the trade for each allocation record. Please pay attention to the "Buy" and the "Sell" next to the Customer Side and Contra side in the parentheses.
- User can split quantity in the "Slice Quantity", only if the user is the owner of both sides.
- 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**

TRA	DE SUMM	ARY																
ALLOCA	TED FLOOR TRADES	TRANS	ACTIONS T	RANSACTION HISTORY														
Entitlem	nent			Firm			Match For				Original Trade	e Date		Ref Exec Time			Underlying Symbol	
Broker	Firm		~	TRAFIX LLC		~	All INFs			~	07/13/2023			hh:mm:ss.ssss	sssss TO P	h:mm:ss.ssssssss		
SI Roo	ot Symbol			Expiration Date			Strike Price				Put/Call			Qty			Price	
				mm/dd/yyyy	Ċ								~		то			то
IPID				Clearing #			MMID				CMTA			Badge			Open/Close	
Sustom	er or Firm		~	OCC Seq #			Side			~	Client Order I	d		Account			Optional Data	
	_																	
SEAR	ICH RESET MOR	CE.																CD 🔝
				Common												Custome		
	Ref Exec Time	Qty	OSI Root Sy	mbol Expiration Date	Strike Price	Put/Ca	II Price	Side	MPID	MMID	Badge	Customer or Firm	C	lient Order Id	Clearing #	Open/Close	CMTA	Account
$\nabla$	07/13/2023 15:		IBM	07/21/2023		Cell	1.200	SELL	TRFX		TF01	Customer	58	I9PX5	355	Close	161	
$\mathbf{\nabla}$	07/13/2023 15:	3,000		07/21/2023		Call	1.800	BUY	TRFX		TF01	Customer	58	I9PX5	355	Close	161	
$\nabla$	07/13/2023 15:	2,500	IBM	07/21/2023	70.0000000	Call	1.200	SELL	TREX		TF01	Customer	58	I9PX4	355	Close	161	
$\nabla$	07/13/2023 15:	2,500	IBM	07/21/2023	65.00000000	Call	1.800	BUY	TREX		TF01	Customer	58	9PX4	355	Close	161	

Match For

#### Match For

All INFs	^
All INFs	
Partial Allocation	
Zero Allocation	

• All INFs - Displays the internal fill message.

NVC



- 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 Sile (.) Customer or Firm Customer Customer Customer CMTA 101 Contra Sile (.) MPD	Silce Quantity 10 MPID TRPX Account	(Change) Reason Code Non-Contractual Field Change	Clearing # 323 Optional Data	V Open/Close Close Badge	Cap Strategy Id	Badge TF01	Clearing #: 333 CMTA: 161 Customer of Fir MPID: TBTX U Open/Close: C Badge: TF01 original Deal1d: Deal1d: 56276 Price: 0.01 Gty: 1000 Expiration Date	m: 0 562967133290739 7133290739
ADD SLICE RESET							Original Trade D OSI Root Symbo Put/Call: 0	iate: 08/16/2022 bl: IBM 08/16/2022 18:28:01.833308160
Row # My Ownership	Slice Quantity   Change Reason	Customer side: MPID	Customer side: Open/Close Customer	er side: Customer or Firm C	ustomer side: MMID	Customer side: Clearing	# C OSI Symbol: IB Underlying Sym	M 220819P00116000
		(j) No	records found for filter criteria				Search	ty Properties
							> < >	

- The user can select the "Edit Icon" tab and the "Allocate/Unallocate" page will populate. If the user is the owner of both buy and sell sides, under the "Allocate" tab user can select "Both" under "My Ownership". However, if the user only owns one side of the trade, then select either buy or sell.
- All unallocated trades at the end of the business day will be default to the firm's "Error Account" as the contra side of the trade (e.g., partial trades need to be cancelled or the remaining balance will be defaulted to the firm's error account).

### **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.)

LOCATE U	NALLOCATE								
<ul> <li>✓</li> <li>✓</li> </ul>		Customer side: MPID	Customer side: Open/Close Open	Customer side: Customer or Firm	Customer side: MMID	Customer side: Clearing #	Customer side: Cap Strategy	Customer	Clearing #: 355 CMTA: 161 Customeror Firm: 0
nange) Reaso	∢ In Code Jal Field Change		×					•	MPID: TRFX Open/Close: O Badge: TF01 Original Deal Id: 662949953421399 Deal Id: 652949953421399 Price: 33.05 Cty: 801 Expiration Date: 10/01/2021 Original Trade Date: 09/29/2021 D6I Root Symbol: IBM Put/Call: 1
									Search  Hide Empty Properties



- 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.

Trade Summary							
Customer Side (-) Customer or Firm Customer • • CMTA 101	Silce Quantity a10 MP/D THPX ~ Account	(Change) Reason Code Non-Contractual Field Change MMID	Clearing # 333 Optional Data	Open/Close Close	Cap Strategy Id		Clearing 4: 333 Chr. 163 Chr. 167 Mrtito: TMFX Badge: TMFX Badge: TMFX Badge: TMFX Decline: 05/02/97133290729 Decline: 05/02/97133290729
Contra Side (-)           MPID           ADD SLICE         RESET           O / Still         Reset           Box #         My Ownership         Slice	e Quantity   Change Reason	MMID	side. Open/Close Customer side. Custo	Badge	omer side: MMID	Customer side: Cleaning # C	0(r: 1000 Expletion Dete: 00/19/2022 Organia Traste Date: 00/19/2022 Ofil Rood Symphone: IBM Put/Call: 0 Ref Exec Time: 08/16/2022 10.28.01.033309160 Strike Price: 116 Otil Symbol: 118/2018/19/00116000
	Underlying Symbol IBM Dearch I Hide Empty Properties						

### 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.)



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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, Users can select up to 20 multiple edit icons next to the "CO\_APPROVAL\_PENDING" for approvals. This will populate the "Trade Summary Approval" screen.

Optional Data															
SEARCH	RESET	MORE											RECALL		вст ² сз 🖹 🌣
			Group Id	Status	User Action	Action	Updated Time	Updated By	Reason	Original Trade Date	Event Type	Ref Exec Time	Event Time	Deal Id	Original Deal Id
	$\nabla$	21	45105	CO_APPROVAL_PENDING	ALLOCATE	ALLOCATE	07/13/2023 15:29:38.851775000	TOP	OMS Allocation	07/13/2023	ALC	07/13/2023 15:28:56.494823936	07/13/2023		562967133476379
	$\nabla$	21	45104	CO_APPROVAL_PENDING	ALLOCATE	ALLOCATE	07/13/2023 15:29:38.702768000	TOP	OMS Allocation	07/13/2023	ALC	07/13/2023 15:28:56.494823936	07/13/2023		562967133476353

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

Change) Reason Code													
-Keep as is-					~								
CMTA					Account						Optional D	ata	
APPROVE													
Status	Ref Exec Time	Side	Qty	OSI Root	Expiration Date	Strike Price	Put/Call	Price	Action Status	Error		Client Order Id	Underlying Sy
	Ref Exec Time 12/01/2022 10	Side BUY	Qty 505	OSI Root	Expiration Date 01/20/2023	Strike Price	Put/Call Call	Price 58.40000000	Action Status	Error		Client Order Id 365PX47	Underlying Sy
CO_APPROVAL_PENDING									Action Status	Error			
CO_APPROVAL_PENDING CO_APPROVAL_PENDING	12/01/2022 10	BUY	505	ICE	01/20/2023	50.0000000	Call	58.40000000	Action Status	Error		365PX47	ICE
CO_APPROVAL_PENDING CO_APPROVAL_PENDING	12/01/2022 10 12/01/2022 10	BUY SELL	505 505	ICE	01/20/2023 01/20/2023	50.00000000 45.00000000	Call	58.40000000 65.50000000	Action Status	Error		365PX47 365PX47	ICE
CO_APPROVAL_PENDING CO_APPROVAL_PENDING CO_APPROVAL_PENDING	12/01/2022 10 12/01/2022 10 12/01/2022 10	BUY SELL BUY	505 505 506	ICE ICE ICE	01/20/2023 01/20/2023 01/20/2023	50.0000000 45.0000000 70.0000000	Call Call Call	58.40000000 65.50000000 38.30000000	Action Status	Error		365PX47 365PX47 365PX48	ICE ICE ICE

#### Notifications

The exchange broadcasts important messages to TOP users. (e.g., Outages and informational)

toRE	Event Type	Ref Exec Time	- Event Time	D	eal Id Original Deal Id	Ref Deal Id   OSI Symbol	OSI Root Symbol	Common	Dut/Call
nginal Trade Date	Event Type	Ref Exec Time	Event Time	D	eal Id Original Deal Id	Ref Deal Id OSI Symbol			Put/Call
				No records found for	or filler criteria				
								This is a test broadca	
					① No records found for	No records found for titler criteria	No records found for fitter criteria	No records found for titler criteria	No records found for titler criteria

Additional TOP information can be found at <u>www.nyse.com/pillar-migration</u>.

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# **Appendix: Document Version Control History**

Date	Version Number	Change Summary
9/12/2023	1.4	<ul> <li>Multiple Trade Edit Capability (Multi-Edit 2.0) for Options</li> <li>Ability to update CapStraftegyID in Multi-Edit operation (Floor Broker QCC Trades and Outcry)</li> <li>Trade Summary – Optional Data Wild Card Filter</li> </ul>
7/21/2023	1.3	<ul> <li>Risk Phase 3: Options (disabled/hidden from users)</li> <li>Technology: Rename "CDM" URL (Non-PROD)</li> <li>Notifications: Message Broadcasting</li> <li>Implement Multiple Email Widget in Risk setting Page</li> </ul>
12/5/2022	1.2	<ul> <li>Updated Multi Edit section with "Keep as is" as the default value</li> <li>Updated Market Makers section to reflect new 'Bulk Approval' feature</li> <li>Updated screen shots to reflect TOP version 6.3.1</li> </ul>
8/23/2022	1.1	<ul> <li>Updated formatting and branding</li> <li>Updated Screen shots in 'Allocated', "Split' and 'Allocate (Floor Trades)' section</li> <li>Added information in the 'Adjust' and 'Split' sections</li> </ul>
1/22/2022	1.0	Initial publication