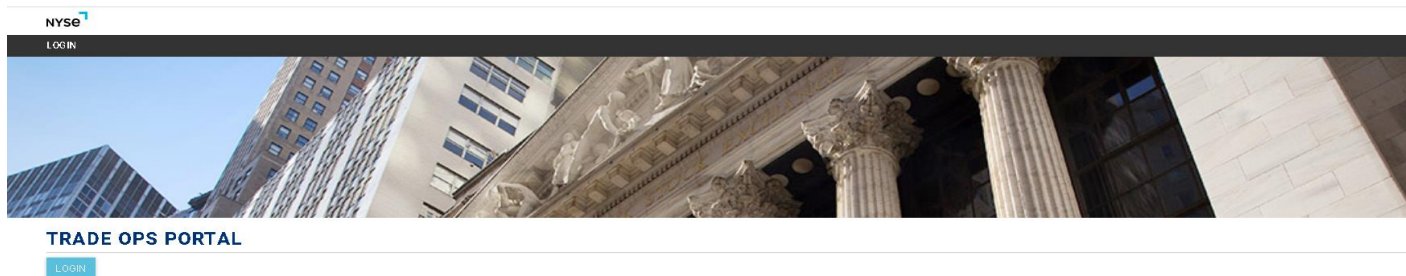

NYSE PILLAR TRADE OPS PORTAL (TOP)

POST TRADE ADJUSTMENT USER GUIDE



Version 1.4







September 2023

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  (allows 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  Appears 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](#). [\[PDF\]](#)

[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)

Status	Count
Contra Approval Pending	34
Completed	3
Recalled	1
Error	3
Contra Rejected	1

ARCA/AMEX Options

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

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

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).

The screenshot shows the 'TRADE SUMMARY' interface with various search filters. The table below the filters is empty, displaying the message: "No records found for filter criteria".

Allocated

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

The screenshot shows the 'TRADE SUMMARY' interface with search filters. The table below the filters displays the following data:

Common														Customer Side									
Event Time	Qty	OSI Root...	Expiration Date	Strike Price	Put/Call	Price	OCC Seq #	Side	Client Order Id	MPID	MMID	Badge	Clearing #	Open/Close	Customer or Firm	CMTA	Account	Cap Strategy	ID				
No records found for filter criteria																							

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. 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.

Ref Exec Time	Event Time	Qty	OSI Root Symbol	Expiration Date	Strike Price	Put/Call	Price	OCC Seq #	MPID	Side	MMID	Badge	Clearing #	Customer or Firm	Open/Close	CMTA	Client Order Id
07/13/2023 15	07/13/2023	2,500	IBM	07/21/2023	70.00000000	Call	1,200	191	TRFX	BUY		TF01	355	Firm	Close	161	588PX4
07/13/2023 15	07/13/2023	2,500	IBM	07/21/2023	70.00000000	Call	1,200	191	TRFX	SELL		TF01	355	Customer	Close	161	588PX4
07/13/2023 15	07/13/2023	2,500	IBM	07/21/2023	65.00000000	Call	1,800	190	TRFX	BUY		TF01	355	Customer	Close	161	588PX4
07/13/2023 15	07/13/2023	2,500	IBM	07/21/2023	65.00000000	Call	1,800	190	TRFX	SELL		TF01	355	Firm	Close	161	588PX4

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)

TRADE SUMMARY
MULTI-EDIT

Change Reason Code
Non-Contractual Field Change

Customer Side (-)
Customer or Firm: -Keep as is- MPID: TRFX MMID: Clearing #: 355 Open/Close: Open Badge: TF01

CMTA: 161 Account: -Keep as is- Optional Data: Bee test Cap Strategy Id: -

SUBMIT APPLY 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

Ref Exec Time	Side	Qty	OSI Ro...	Expiration Date	Strike Price	Put/Call	Price	Customer or Firm	MPID	Open/Close	Clearing #	MMID	Badge	CMTA	Account	Optional Data	Cap Strategy Id	R
09/12/2023 15:11:46.112966029	BUY	45	IBM	09/15/2023	65	Call	1.92	Customer	TRFX	Open	355		TF01	161	chua-ai	Bee test	-	
09/12/2023 15:11:46.112966029	SELL	45	IBM	09/15/2023	65	Call	1.92	Firm	TRFX	Open	355		TF01	161	chua-ai	Bee test	-	
09/12/2023 15:11:46.112966029	BUY	300	IBM	09/15/2023	65	Call	1.91	Customer	TRFX	Open	355		TF01	161	chua-ai	Bee test	-	
09/12/2023 15:11:46.112966029	SELL	300	IBM	09/15/2023	65	Call	1.91	Firm	TRFX	Open	355		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”.

TRADE SUMMARY
Trade Action

ADJUST **SPLIT**

Slice Quantity: 900 (Change Reason Code: Non-Contractual Field Change)

Customer Side (Buy):
Customer or Firm: (MPID: TRFX, MMID:) Clearing #: 551 Open/Close: Close Badge: TF01
CMTA: Account: GTF0H Optional Data: Cap Strategy Id:

Contra Side (Sell):
Customer or Firm: (MPID: TRFX, MMID:) Clearing #: 551 Open/Close: Close Badge: TF01
CMTA: Account: GTF0H Optional Data: Cap Strategy Id:

ADD SLICE **RESET**

Total Splits: 0 / 900

Row #	Slice Quantity	Change Reason	Customer side: MPID	Customer side: Open/Close	Customer side: Customer or Firm	Customer side: MMID	Customer side: Clearing #	Customer side: B...
No records found for filter criteria								

Contra side: Account: GTF0H
Contra side: Clearing #: 551
Contra side: Customer or Firm: 1
Contra side: MPID: TRFX
Contra side: Open/Close: C
Contra side: Badge: TF01
Customer side: Account: GTF0H
Customer side: Clearing #: 551
Customer side: Customer or Firm: 0
Customer side: MPID: TRFX
Customer side: Open/Close: C
Customer side: Badge: TF01
Original Deal Id: 56296713290505
Deal Id: 56296713290635
Price: 16.6
Qty: 900
Expiration Date: 08/19/2022
Original Trade Date: 06/16/2022
OSI Root Symbol: IBM

Search

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

NYSE ARCA OPTIONS SYSTEM REF LOGOUT

TRADE SUMMARY

ALLOCATED FLOOR TRADES TRANSACTION HISTORY

Entitlement: Broker Firm: Firm: TRAFIX LLC Match For: All INFs Original Trade Date: 07/13/2023 Ref Exec Time: h:mm:ss.ssssssss to h:mm:ss.ssssssss Underlying Symbol:

OSI Root Symbol: Expiration Date: mm/dd/yyyy Strike Price: Put/Call: Qty: to Price: to Open/Close:

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

Customer or Firm: OCC Seq #: Side: Client Order Id: Account: Optional Data:

SEARCH **RESET** **MORE**

Common										Customer Side						
Ref Exec Time	Qty	OSI Root Symbol	Expiration Date	Strike Price	Put/Call	Price	Side	MPID	MMID	Badge	Customer or Firm	Client Order Id	Clearing #	Open/Close	CMTA	Account
07/13/2023 15:...	3,000	IBM	07/21/2023	70.00000000	Call	1.200	SELL	TRFX		TF01	Customer	589PX5	355	Close	161	
07/13/2023 15:...	3,000	IBM	07/21/2023	65.00000000	Call	1.800	BUY	TRFX		TF01	Customer	589PX5	355	Close	161	
07/13/2023 15:...	2,500	IBM	07/21/2023	70.00000000	Call	1.200	SELL	TRFX		TF01	Customer	589PX4	355	Close	161	
07/13/2023 15:...	2,500	IBM	07/21/2023	65.00000000	Call	1.800	BUY	TRFX		TF01	Customer	589PX4	355	Close	161	

- 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)

- 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.)

- 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.)

- 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

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
45195	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	0	962987133476379
45194	CO_APPROVAL_PENDING	ALLOCATE	ALLOCATE	07/13/2023 16:29:38.702758000	TOP	OMS Allocation	07/13/2023	ALC	07/13/2023 15:28:56.494823936	07/13/2023	0	962987133476353

RECALL APPROVE REJECT

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

TRANSACTIONS

APPROVE/REJECT

(Change) Reason Code
-Keep as is-

CMTA Account Optional Data

APPROVE

Status	Ref Exec Time	Side	Qty	OSI Root...	Expiration Date	Strike Price	Put/Call	Price	Action Status	Error	Client Order Id	Underlying Sy...
CO_APPROVAL_PENDING	12/01/2022 10...	BUY	505	ICE	01/20/2023	50.00000000	Call	58.40000000			365PX47	ICE
CO_APPROVAL_PENDING	12/01/2022 10...	SELL	505	ICE	01/20/2023	45.00000000	Call	65.50000000			365PX47	ICE
CO_APPROVAL_PENDING	12/01/2022 10...	BUY	506	ICE	01/20/2023	70.00000000	Call	38.30000000			365PX48	ICE
CO_APPROVAL_PENDING	12/01/2022 10...	BUY	506	ICE	01/20/2023	65.00000000	Call	43.00000000			365PX48	ICE
CO_APPROVAL_PENDING	12/01/2022 10...	BUY	506	ICE	01/20/2023	50.00000000	Call	58.40000000			365PX48	ICE
CO_APPROVAL_PENDING	12/01/2022 10...	SELL	506	ICE	01/20/2023	45.00000000	Call	65.50000000			365PX48	ICE

Notifications

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

OCC Seq # Side Client Order Id Account Optional Data

SEARCH RESET MORE

MULTI-EDIT

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	Put/Call
No records found for filter criteria										

Last Updated @ 500

This is a text broadcast for CERT TOP
Text Message From across
6/29/2023 8:59:08 AM PDT

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

Appendix: Document Version Control History

Date	Version Number	Change Summary
9/12/2023	1.4	<ul style="list-style-type: none"> Multiple Trade Edit Capability (Multi-Edit 2.0) for Options Ability to update CapStrategyID in Multi-Edit operation (Floor Broker QCC Trades and Outcry) Trade Summary – Optional Data Wild Card Filter
7/21/2023	1.3	<ul style="list-style-type: none"> Risk Phase 3: Options (disabled/hidden from users) Technology: Rename “CDM” URL (Non-PROD) Notifications: Message Broadcasting Implement Multiple Email Widget in Risk setting Page
12/5/2022	1.2	<ul style="list-style-type: none"> Updated Multi Edit section with “Keep as is” as the default value Updated Market Makers section to reflect new ‘Bulk Approval’ feature Updated screen shots to reflect TOP version 6.3.1
8/23/2022	1.1	<ul style="list-style-type: none"> Updated formatting and branding Updated Screen shots in ‘Allocated’, ‘Split’ and ‘Allocate (Floor Trades)’ section Added information in the ‘Adjust’ and ‘Split’ sections
1/22/2022	1.0	<ul style="list-style-type: none"> Initial publication