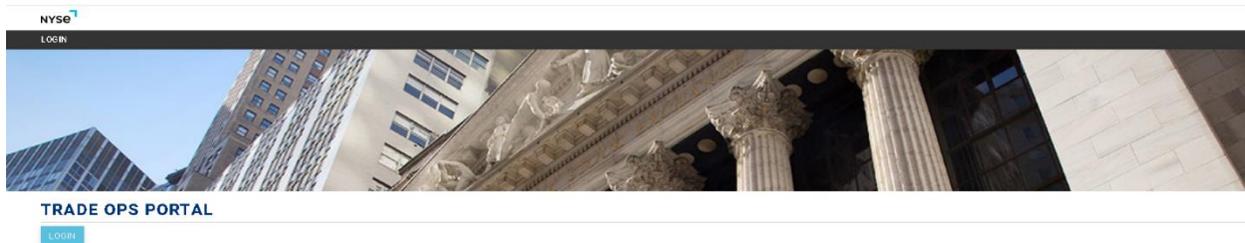

NYSE PILLAR TRADE OPS PORTAL (TOP)

MANUAL EXECUTION REPORT GUIDE



Version 1.0

December 2022

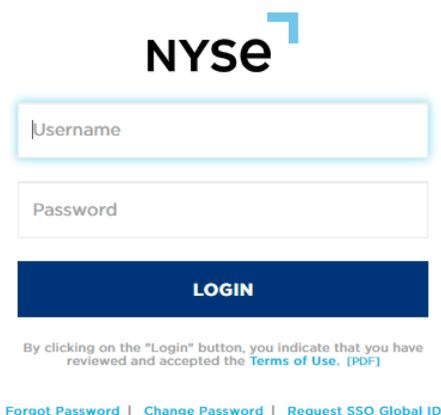
SUMMARY

This user guide provides instructions on how to export trade summary information and compare Drop Copy related properties to TOP.

For additional assistance on TOP functionality please see the [NYSE Pillar TOP - Options Post Trade User Guide](#). For viewing and managing risk parameters on TOP please see the [NYSE Pillar Risk Controls document](#).

LOGIN

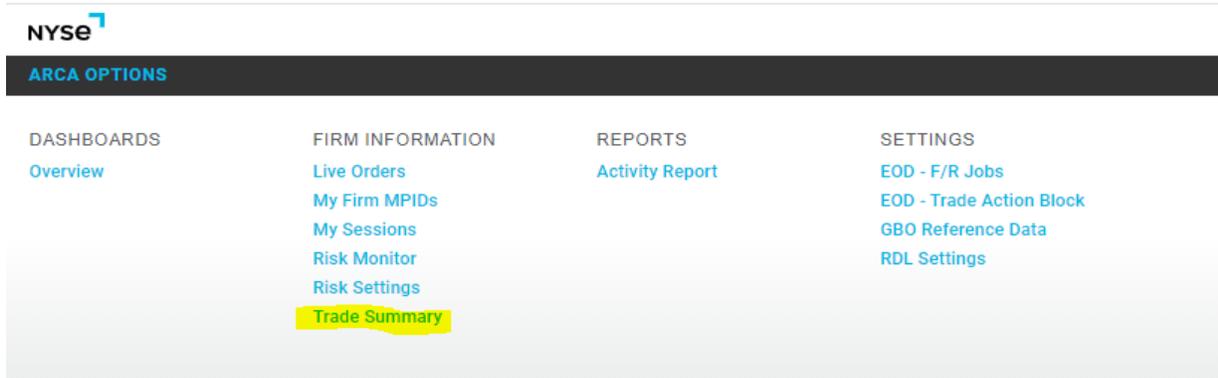
Log in by using the TOP Username (Email Address) and the password. For assistance with login details, please contact CRS@nyse.com.



The login form features the NYSE logo at the top. Below it are two input fields: 'Username' and 'Password'. A dark blue 'LOGIN' button is positioned below the password field. A disclaimer states: 'By clicking on the "Login" button, you indicate that you have reviewed and accepted the [Terms of Use](#). [PDF]'. At the bottom, there are three links: 'Forgot Password', 'Change Password', and 'Request SSO Global ID'.

ARCA Options

Select “Trade Summary” under ARCA Options.



TOP TRADES REPORT

TOP provides users with completed trade information for both electronic and open outcry executions on the “Allocated” tab of Trade Summary. Users can download trade information as follows:

- On the “Allocated” tab, users can search for trades with various filters (I.e., Original Trade Date & Ref Exec Time) and select “Search”.

The screenshot shows the NYSE ARCA Options Trade Summary page. The 'Original Trade Date' and 'Ref Exec Time' filters are highlighted in yellow. The 'Export to Excel' icon is also highlighted in yellow. The page displays a table of trade information with columns for various fields such as Original Deal Id, City, OSI Root Symbol, Expiration Date, Strike Price, Put/Call, Price, OCC Seq #, Client Cross, Side, MMD, Badge, Clearing #, Open/Close, Customer or Firm, CMTA, Account, and Cap Strk.

Original Deal Id	City	OSI Root Symbol	Expiration Date	Strike Price	Put/Call	Price	OCC Seq #	Client Cross	Side	MMD	Badge	Clearing #	Open/Close	Customer or Firm	CMTA	Account	Cap Strk
562967133291259	259	IBM	19/21/2022	80.00000000	Put	0.960	12870	294PX5	BUY		TF01	50	Open	Customer			
562967133291259	259	IBM	19/21/2022	80.00000000	Put	0.960	12870	294PX5	SELL		TF01	50	Open	Firm			
562967133290889	300	IBM	19/21/2022	80.00000000	Put	0.100	8669	294PX7	SELL		TF01	50	Open	Firm			
562967133290889	300	IBM	19/21/2022	80.00000000	Put	0.100	8669	294PX7	BUY		TF01	50	Open	Customer			
562967133291311	300	IBM	19/21/2022	80.00000000	Put	0.960	12878	294PX5	BUY		TF01	50	Open	Customer			
562967133291311	300	IBM	19/21/2022	80.00000000	Put	0.960	12878	294PX5	SELL		TF01	50	Open	Firm			
562967133291289	300	IBM	19/21/2022	80.00000000	Put	0.960	12877	294PX5	BUY		TF01	50	Open	Customer			
562967133291289	300	IBM	19/21/2022	80.00000000	Put	0.960	12877	294PX5	SELL		TF01	50	Open	Firm			
562967133291025	259	IBM	19/21/2022	85.00000000	Put	0.960	12875	294PX6	BUY		TF01	50	Open	Customer			

- Export to Excel
 - Select the Export to Excel icon on the middle right side of the Trade Summary page above the grid. This will populate an export box.

TRADE SUMMARY

ALLOCATED FLOOR TRADES TRANSACTIONS TRANSACTION HISTORY

Entitlement	Firm	Original Trade Date	Ref Exec Time	Underlying Symbol	OSI Symbol
Broker Firm	TRAFIX LLC	09/21/2022	10:00:00 to 11:00:00		
OSI Root Symbol	Expiration Date	Strike Price	Put/Call	Qty	Price
	mm/dd/yyyy			to	to
MPID	Clearing #	MMID	CMTA	Badge	Open/Close
Customer or Firm	OCC Seq #	Liquidity Indicator		Side	Deal Id
Original Deal Id	Ref Deal Id	Cross ID	Client Order Id	Public Order Id	Session Id
Account	Optional Data				

Common													Customer Side						
File Name	Trade Summary	Include Hidden Columns	EXPORT THIS PAGE	EXPORT 100K ROWS															
					Original Deal Id	Qty	OSI Root Symbol	Expiration Date	Strike Price	Put/Call	Price	OCC Seq #	Client Order	Side	MMID	Badge	Clearing #	Open/Close	Customer or
					562967133291259	259	IBM	10/21/2022	80.00000000	Put	0.060	12879	294PX5	BUY	TF01	50	Open	Customer	
					562967133291259	259	IBM	10/21/2022	80.00000000	Put	0.060	12879	294PX5	SELL	TF01	50	Open	Firm	
					562967133290895	300	IBM	10/21/2022	90.00000000	Put	0.100	9669	294PX7	SELL	TF01	50	Open	Firm	
					562967133290895	300	IBM	10/21/2022	90.00000000	Put	0.100	9669	294PX7	BUY	TF01	50	Open	Customer	
					562967133291311	300	IBM	10/21/2022	80.00000000	Put	0.060	12876	294PX5	BUY	TF01	50	Open	Customer	
					562967133291311	300	IBM	10/21/2022	80.00000000	Put	0.060	12876	294PX5	SELL	TF01	50	Open	Firm	
					562967133291285	300	IBM	10/21/2022	80.00000000	Put	0.060	12877	294PX5	BUY	TF01	50	Open	Customer	
					562967133291285	300	IBM	10/21/2022	80.00000000	Put	0.060	12877	294PX5	SELL	TF01	50	Open	Firm	
					562967133291025	250	IBM	10/21/2022	85.00000000	Put	0.060	12875	294PX6	BUY	TF01	50	Open	Customer	

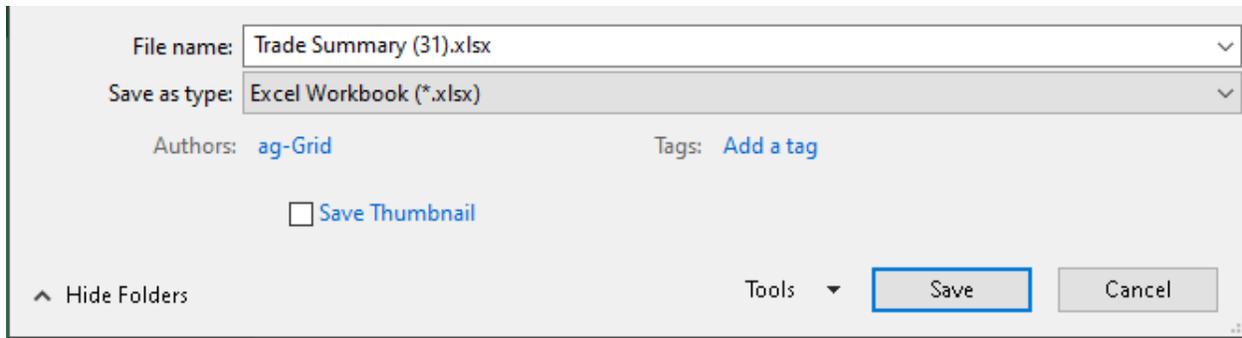
Last Updated @ 07:49:49 EST

Showing Items 1 - 20 of 20 500

- b. Users can do the following prior to exporting to excel:
 - i. rename the file under "File name".
 - ii. include/exclude hidden columns export just the current page on the screen or export up to 100k rows.
- c. Once criteria for export are selected, users will see the Excel file appear on the left corner, double click on it.
- d. User will see the Excel file open.

	A	B	C	D	E	F	G	H	I	J
	Original Trade Date	Event Type	Ref Exec Time	Event Time	Deal Id	Original Deal Id	Qty	Ref Deal Id	OSI Symbol	OSI R
1	2022-09-21	RALC	2022-09-21T10:40:01.871755008	2022-09-21T11:51:12.466741	562967133291441	562967133291259	259	562967133291415	IBM 221021P00080000	IBM
2	2022-09-21	RALC	2022-09-21T10:40:01.871755008	2022-09-21T11:51:12.466741	562967133291441	562967133291259	259	562967133291415	IBM 221021P00080000	IBM
3	2022-09-21	RALC	2022-09-21T10:40:01.871755008	2022-09-21T11:51:12.466741	562967133291441	562967133291259	259	562967133291415	IBM 221021P00080000	IBM
4	2022-09-21	RALC	2022-09-21T10:42:02.067137792	2022-09-21T11:49:49.075455	562967133290947	562967133290895	300	562967133290895	IBM 221021P00090000	IBM
5	2022-09-21	RALC	2022-09-21T10:42:02.067137792	2022-09-21T11:49:49.075455	562967133290947	562967133290895	300	562967133290895	IBM 221021P00090000	IBM
6	2022-09-21	ALC	2022-09-21T10:40:01.871755008	2022-09-21T11:44:41.714122	562967133291389	562967133291311	300	562967133291311	IBM 221021P00080000	IBM
7	2022-09-21	ALC	2022-09-21T10:40:01.871755008	2022-09-21T11:44:41.714122	562967133291389	562967133291311	300	562967133291311	IBM 221021P00080000	IBM
8	2022-09-21	ALC	2022-09-21T10:40:01.871755008	2022-09-21T11:44:41.712786	562967133291363	562967133291285	300	562967133291285	IBM 221021P00080000	IBM
9	2022-09-21	ALC	2022-09-21T10:40:01.871755008	2022-09-21T11:44:41.712786	562967133291363	562967133291285	300	562967133291285	IBM 221021P00080000	IBM
10	2022-09-21	ALC	2022-09-21T10:40:01.727049728	2022-09-21T11:39:50.479209	562967133291233	562967133291025	250	562967133291025	IBM 221021P00080000	IBM
11	2022-09-21	ALC	2022-09-21T10:40:01.727049728	2022-09-21T11:39:50.479209	562967133291233	562967133291025	250	562967133291025	IBM 221021P00080000	IBM
12	2022-09-21	ALC	2022-09-21T10:40:01.727049728	2022-09-21T11:39:33.393474	562967133291207	562967133291051	250	562967133291051	IBM 221021P00080000	IBM
13	2022-09-21	ALC	2022-09-21T10:40:01.727049728	2022-09-21T11:39:33.393474	562967133291207	562967133291051	250	562967133291051	IBM 221021P00080000	IBM
14	2022-09-21	ALC	2022-09-21T10:40:01.727049728	2022-09-21T11:39:20.308935	562967133291181	562967133290999	250	562967133290999	IBM 221021P00080000	IBM
15	2022-09-21	ALC	2022-09-21T10:40:01.727049728	2022-09-21T11:39:20.308935	562967133291181	562967133290999	250	562967133290999	IBM 221021P00080000	IBM
16	2022-09-21	ALC	2022-09-21T10:40:01.727049728	2022-09-21T11:33:55.156698	562967133291155	562967133291129	250	562967133291129	IBM 221021P00080000	IBM
17	2022-09-21	ALC	2022-09-21T10:40:01.727049728	2022-09-21T11:33:55.156698	562967133291155	562967133291129	250	562967133291129	IBM 221021P00080000	IBM
18	2022-09-21	ALC	2022-09-21T10:42:02.067137792	2022-09-21T11:15:03.674234	562967133290973	562967133290869	300	562967133290869	IBM 221021P00090000	IBM
19	2022-09-21	ALC	2022-09-21T10:42:02.067137792	2022-09-21T11:15:03.674234	562967133290973	562967133290869	300	562967133290869	IBM 221021P00090000	IBM
20	2022-09-21	ALC	2022-09-21T10:42:02.067137792	2022-09-21T11:11:05.327372	562967133290921	562967133290843	300	562967133290843	IBM 221021P00090000	IBM
21	2022-09-21	ALC	2022-09-21T10:42:02.067137792	2022-09-21T11:11:05.327372	562967133290921	562967133290843	300	562967133290843	IBM 221021P00090000	IBM
22										
23										
24										

- e. Users can save the report file by selecting the following:
 - i. File.
 - ii. Save As (Name the file and save it as Excel Workbook).
 - iii. Browse (Select where the user wants the file to be located, i.e., Desktop).
 - iv. Once it is done, select Save.



RESOURCES

Drop Copy Related Properties to TOP

FIX TAG	DROP COPY	TOP
30016	RefExecTimestamp	Original Trade Date/Ref Exec Time
1	Account	Account
50	SenderSubID	Session id
128	DelivertoCompID	MPID
11	ClOrdID	Client Order ID
31	LastPx	Price
32	LastShare	Qty
37	OrderID	Public Order Id
38	OrderQty	Qty
54	Side	Side
55	Symbol	OSI Root Symbol
59	TimeInForce	TIF
60	TransactTime	Event Time
9483	DealID	Deal Id
9730	LiquidityIndicator	Liq Ind
200	MaturityMonth	Expiration Date
201	PutOrCall	Put/Call
202	StrikePrice	Strike Price

204	CustomerOrFirm	Customer or Firm
205	MaturityDay	Expiration Date
439	Clearing Firm	CMTA
440	Clearing Account	Clearing #
526	Optional Data	Optional Data
77	OpenClose	Open/Close
20016	ContraCustomerOrFirm	Customer or Firm (contra)
20017	ContraClearingAccount	Clearing # (contra)
20018	ContraOpenClose	Open/Close (Contra)
337	ContraTrader	MPID (Contra)
375	ContraBroker	CMTA (Contra)

Appendix: Document Version Control History

Date	Version Number	Change Summary
12/05/2022	1.0	<ul style="list-style-type: none"> Initial publication