

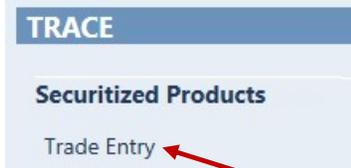
MULTI-TRADE ENTRY AND TRADE RECALL QUICK REFERENCE GUIDE

OVERVIEW

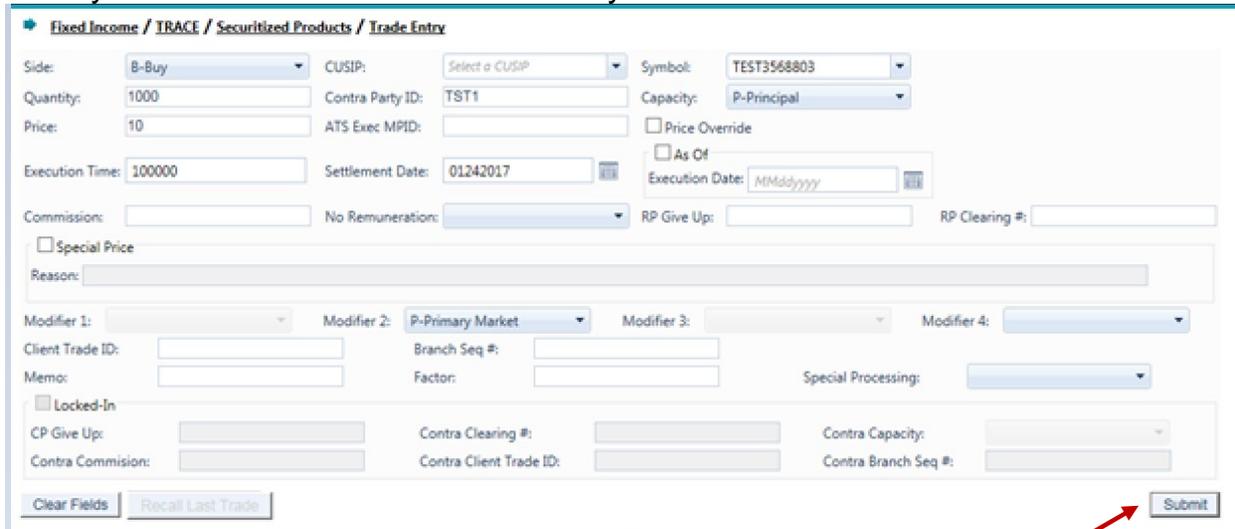
This Quick Reference guide is designed to help users understand basic functionality of the new Multi-Trade Entry and Trade Recall Screens for Securitized Products, Corporates and Agency Debt, and U.S. Treasuries. The Multi-Trade Entry allows up to 50 trades with similar details to be submitted at once. The Trade Recall allows submission of a new trade that contains similar details from the previously entered trade. For a complete guide of the full functionality users can visit <http://www.finra.org/industry/trace/trace-documentation>.

RECALL FUNCTIONALITY

1. Select Fixed Income from the Main Menu, and under TRACE Securitized Products, TRACE Corporate & Agency Debt or U.S. Treasuries, click on Trade Entry.



2. Enter your trade details into the Trade Entry Screen and click the “Submit” button.

A screenshot of a 'Trade Entry' form. The title bar reads 'Fixed Income / TRACE / Securitized Products / Trade Entry'. The form contains several input fields: 'Side' (B-Buy), 'Quantity' (1000), 'Price' (10), 'Execution Time' (100000), 'Settlement Date' (01242017), 'Commission', 'No Remuneration', 'RP Give Up', and 'RP Clearing #'. There are also dropdown menus for 'CUSIP', 'Symbol' (TEST3568803), 'Contra Party ID' (TST1), 'Capacity' (P-Principal), 'As Of', 'Execution Date' (MMddyyyy), 'Special Price', 'Reason', 'Modifier 1-4', 'Client Trade ID', 'Branch Seq #', 'Factor', 'Special Processing', 'CP Give Up', 'Contra Clearing #', 'Contra Capacity', 'Contra Commission', 'Contra Client Trade ID', and 'Contra Branch Seq #'. At the bottom left are 'Clear Fields' and 'Recall Last Trade' buttons. At the bottom right is a 'Submit' button, which is highlighted with a red arrow.

- If the trade was successfully submitted, the trade details will clear out of the screen and you will see the accepted message, control number and trade details at the bottom of the screen. Only then will the “Recall Last Trade” button be enabled.
- Click the “Recall Last Trade” button. Your last submitted trade details will be populated in the Trade Entry screen.

The screenshot shows the 'Fixed Income / TRACE / Securitized Products / Trade Entry' form. The 'Recall Last Trade' button is highlighted with a red arrow. The form contains the following fields:

- Side: B-Buy
- Quantity: 1000
- Price: 10
- Execution Time: 100000
- Commission: (empty)
- Special Price: (unchecked)
- Reason: (empty)
- Modifier 2: P-Primary Market
- Client Trade ID: (empty)
- Memo: (empty)
- Locked-In: (unchecked)
- CP Give Up: (empty)
- Contra Commission: (empty)
- CUSIP: Select a CUSIP
- Contra Party ID: TST1
- ATS Exec MPID: (empty)
- Settlement Date: 01242017
- No Remuneration: (empty)
- Symbol: TEST3568803
- Capacity: P-Principal
- Price Override: (unchecked)
- As Of: (unchecked)
- Execution Date: MMd/yyyy
- RP Give Up: (empty)
- RP Clearing #: (empty)
- Branch Seq #: (empty)
- Factor: (empty)
- Special Processing: (empty)
- Contra Clearing #: (empty)
- Contra Capacity: (empty)
- Contra Client Trade ID: (empty)
- Contra Branch Seq #: (empty)

- You can now make any necessary changes to the trade details to submit another trade.

The screenshot shows the 'Fixed Income / TRACE / Securitized Products / Trade Entry' form. The 'Submit' button is highlighted with a red arrow. The form contains the following fields:

- Side: B-Buy
- Quantity: 1000
- Price: 10
- Execution Time: 100000
- Commission: (empty)
- Special Price: (unchecked)
- Reason: (empty)
- Modifier 2: P-Primary Market
- Client Trade ID: (empty)
- Memo: (empty)
- Locked-In: (unchecked)
- CP Give Up: (empty)
- Contra Commission: (empty)
- CUSIP: Select a CUSIP
- Contra Party ID: TST1
- ATS Exec MPID: (empty)
- Settlement Date: 01242017
- No Remuneration: (empty)
- Symbol: TEST3568803
- Capacity: P-Principal
- Price Override: (unchecked)
- As Of: (unchecked)
- Execution Date: MMd/yyyy
- RP Give Up: (empty)
- RP Clearing #: (empty)
- Branch Seq #: (empty)
- Factor: (empty)
- Special Processing: (empty)
- Contra Clearing #: (empty)
- Contra Capacity: (empty)
- Contra Client Trade ID: (empty)
- Contra Branch Seq #: (empty)

- If the trade is successfully submitted, the trade fields will clear and you will see the accepted message with control number and trade details at the bottom of the screen.

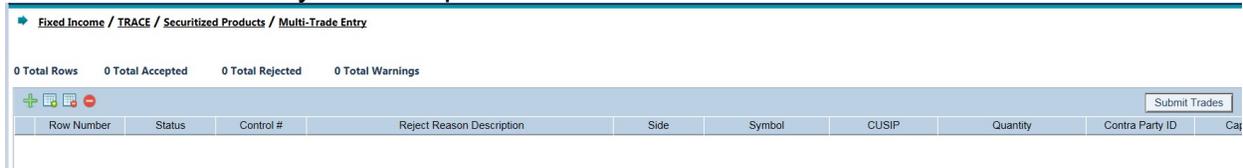
NOTE: If you click the “Submit” button without changing any of your trade details, a warning will popup “You are about to Submit a Duplicate Trade. Are you sure you want to Submit?” You can click on the “Cancel” button to get out of the popup and back to the Trade Entry screen to edit your trade details or click the “Ok” button to submit the duplicate trade.

MULTI-TRADE ENTRY

1. Select Fixed Income from the Main Menu, and under TRACE Securitized Products, TRACE Corporate & Agency Debt or U.S. Treasuries, click on Multi-Trade Entry.

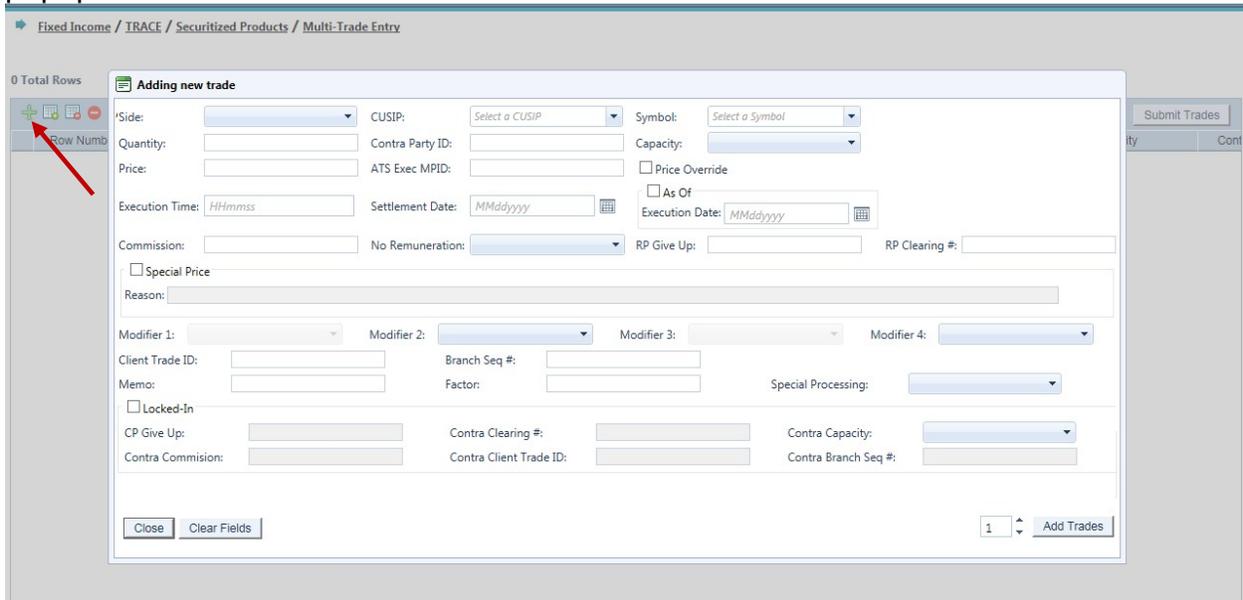


2. The Multi-Trade Entry screen opens



ENTERING MULTIPLE TRADES USING THE ADD TRADES ICON

1. Click on the Add Trades Icon . Enter the shared trade details into the Trade Entry popup.



2. Enter the number of trades you want to add to into the Multi-Trade Entry Grid, and click the “Add Trades” button.



3. The Add Trades popup will close and the trades will be added into the Multi-Trade Entry Screen.

Row Number	Status	Control #	Reject Reason Description	Side	Symbol	CUSIP	Quantity	Contra Party ID	Cap
1				B-Buy	TEST3568803		1000	tst1	P-Princi
2				B-Buy	TEST3568803		1000	tst1	P-Princi
3				B-Buy	TEST3568803		1000	tst1	P-Princi

4. Once the trades are in the grid, the user can modify the appropriate fields by selecting the dropdowns, clicking on check boxes and filling in the text boxes. Any changes to fields will be in red. If there is a formatting error on a numeric field, the Row Number and field background color will turn light red. Trades with formatting errors will not be submitted if not fixed.

5. Once you have edited your trade data, click the “Submit Trades” button on the right top corner of the grid to process **ALL** trades in the grid.

Row Number	Status	Control #	Reject Reason Description	Side	Symbol	CUSIP	Quantity	Contra Party ID	Cap
1				B-Buy	TEST3568803		1000	tst1	A-Agent
2				S-Sell	TEST3568803		2000	tst2	P-Princi
3				B-Buy	TEST3568803		3000	tst1	P-Princi

6. A popup will come up asking the user “Are you sure you want to submit # Trades?” The user can click the “Ok” button to Submit the trades in the grid, or the “Cancel” button to close the popup and go back to the Multi-Trade Entry Screen

7. The grid will show your trades have been accepted, rejected, or warnings in the status column. Any items that have failed will be sorted to the top of the grid.

- Warning messages (yellow) will be first, Control # will be blank (warnings will not be in the reject repair screen); Reject Reason Description will show the description of the warning. Warnings can be edited for resubmission.
- Rejected messages (red) will be second, Control # will be contain the Reject Control number (rejects will be in the reject repair screen); Reject Reason Description will show the description of the reject. Rejects can be edited for resubmission.
- Accepted trades (green) will be third, Control # will contain the accepted control number; Reject reason code will be blank. Accepted Trades will be grayed out. Accepted trades cannot be resubmitted.

Row Number	Status	Control #	Reject Reason Description	Side	Symbol	CUSIP	Quantity	Contra Party ID	Cap
1	Warning		090 - MUST ENTER SECURITY SYMBOL OR CUSIP	B-Buy			1000		
2	Rejected	1000000042	192 - INVALID TRADE MODIFIER 2	B-Buy	TEST3568803		1000	tst1	
3	Accepted	1000000038		S-Sell	TEST3568803		1001	tst1	

NOTE: When clicking on the “Submit Trades” button, this submits everything in the grid that doesn’t have a status of Accepted. If there is something in the grid (status of Warning, Rejected or Blank) that you don’t want to submit, it needs to be manually deleted.

ENTERING MULTIPLE TRADES USING THE ADD NEW TRADE ICON

1. Click on the Add New Trades Icon . This will add one blank row to the grid at a time.



Fixed Income / TRACE / Securitized Products / Multi-Trade Entry

3 Total Rows 0 Total Accepted 0 Total Rejected 0 Total Warnings

Row Number	Status	Control #	Reject Reason Description	Side	Symbol	CUSIP	Quantity	Contra Party ID	Cap
1									
2									
3									

2. The user can manually enter their trade details directly into the grid, by selecting the dropdowns, clicking on check boxes and filling in the text boxes. Any changes to fields will be in red.

NOTE: If the user has trades in the grid then clicks the Add Trades Icon  to enter trades via the Multi-Trade Entry popup, any information in the grid will be lost when the trade information in the pop-up is added.

3. Once you have entered all your trade data, click the “Submit Trades” button on the right top corner of the grid to process **ALL** trades in the grid.



Fixed Income / TRACE / Securitized Products / Multi-Trade Entry

3 Total Rows 0 Total Accepted 0 Total Rejected 0 Total Warnings

Row Number	Status	Control #	Reject Reason Description	Side	Symbol	CUSIP	Quantity	Contra Party ID	Cap
1				B-Buy	TEST3568803		1000	tst1	A-Agent
2				S-Sell	TEST3568803		2000	tst2	P-Princi
3				B-Buy	TEST3568803		3000	tst1	P-Princi

4. A popup will come up asking the user “Are you sure you want to submit # trades?” The user can click the “Ok” button Submit the trades, or “Cancel” button to close the popup and go back to the Multi-Trade Entry Screen.
5. The grid will show your trades have been accepted, rejected, or warnings in the status column. Any items that have failed will be sorted to the top of the grid.
 - Warning messages (yellow) will be first, Control # will be blank (warnings will not be in the reject repair screen); Reject Reason Description will show the description of the warning. Warnings can be edited for resubmission.
 - Rejected messages (red) will be second, Control # will be contain the Reject Control number (rejects will be in the reject repair screen); Reject Reason Description will show the description of the reject. Rejects can be edited for resubmission.
 - Accepted trades (green) will be third, Control # will contain the accepted control number; Reject reason code will be blank. Accepted Trades will be grayed out. Accepted trades cannot be resubmitted.

3 Total Rows 1 Total Accepted 1 Total Rejected 1 Total Warnings

Row Number	Status	Control #	Reject Reason Description	Side	Symbol	CUSIP	Quantity	Cont
<input type="checkbox"/>	Warning		090 - MUST ENTER SECURITY SYMBOL OR CUSIP	B-Buy			1000	tst1
<input type="checkbox"/>	Rejected	1000000042	182 - INVALID TRADE MODIFIER 2	B-Buy	TEST3568803		1000	tst1
<input type="checkbox"/>	Accepted	1000000038		S-Sell	TEST3568803		1001	tst1

NOTE: When clicking on the “Submit Trades” button, this submits everything in the grid that doesn’t have a status of Accepted. If there is something in the grid (status of Warning, Rejected or Blank) that you don’t want to submit, it needs to be manually deleted.

HOW TO DELETE SELECTED TRADES IN THE MULTI-TRADE ENTRY GRID

- The user can delete selected trades by clicking the checkbox  of the trade(s) to be deleted.
- Once the trades have been selected, depress Delete Selected Trades  Icon.

3 Total Rows 0 Total Accepted 0 Total Rejected 0 Total Warnings

Row Number	Status	Control #	Reject Reason Description	Side	Symbol	CUSIP	Quantity	Cont
<input type="checkbox"/>								
<input checked="" type="checkbox"/>								
<input type="checkbox"/>								

- The selected trade(s) will be removed from the grid.

2 Total Rows 0 Total Accepted 0 Total Rejected 0 Total Warnings

Row Number	Status	Control #	Reject Reason Description	Side	Symbol	CUSIP	Quantity	Contra Party ID	Cap
<input type="checkbox"/>									
<input type="checkbox"/>									

HOW TO DELETE ALL TRADES IN THE MULTI-TRADE ENTRY GRID

- The user can delete all trades in the grid by depressing the Delete All Trades  Icon to remove **all rows** in the grid

4 Total Rows 0 Total Accepted 0 Total Rejected 0 Total Warnings

Row Number	Status	Control #	Reject Reason Description	Side	Symbol	CUSIP	Quantity	Cont
<input type="checkbox"/>				B-Buy	TEST3568803		1023	tst1
<input type="checkbox"/>				S-Sell	TEST3568803		1000	tst1
<input type="checkbox"/>				B-Buy	TEST3568803		1643	tst1
<input type="checkbox"/>				S-Sell	TEST3568803		1045	tst1