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.

   ![TRACE Trade Entry Screen]

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

![Trade Entry Screen]

The information contained herein may not be copied, retransmitted, disseminated, distributed, sold, resold, leased, rented, licensed, sublicensed, altered, modified, adapted, or stored for subsequent use for any such purpose, in whole or in part, in any form or manner or by any means whatsoever, to or for any person or entity, including the purchaser, without FINRA’s express prior written consent (unless such use constitutes fair use under the Copyright Act).
3. 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.

4. Click the “Recall Last Trade” button. Your last submitted trade details will be populated in the Trade Entry screen.

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

6. 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.

4. Once the trades are in the grid, the user can modify the appropriate fields by selecting the drop-downs, 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.

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 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.
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.

ENTRING MULTIPLE TRDES 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.

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.

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.
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**

1. The user can delete selected trades by clicking the checkbox of the trade(s) to be deleted.

2. Once the trades have been selected, depress Delete Selected Trades Icon.

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

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

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