



**CBOE Trade Match (CTM-I)  
Member Firms User's Guide  
Version 2.0**

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## Change Notices

The following change notices are provided to assist users of the CBOE Trade Match system in determining the impact of changes to their processing.

If you have any questions or review comments about this document, please contact Odalys Castro at (312) 786-8817. For help with the CTMI (Trade Match) system, contact David Glover at (312) 786-7957.

Date	Version	Description of Change
3/21/11	2.0	Captured new screens to support the latest web design. Updated the CBOE logo.
1/27/10	1.4	Updated all screens to capture the new Audit Query tab New Audit Query functionality
12/02/08	1.3	New section for Deferred Trades New Order Query interface
8/15/07	1.2	Included Bulk Update functionality in the Trade Query screen
6/12/07	1.1	Updated Trade Query and Trade Correction screens
12/06/06	1.0	Updated snapshot of Trade Entry screen
10/26/06	1.0	New document

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## Introduction

### Purpose

This user guide was written to assist Member Firms in utilizing the CBOE Trade Match (CTM) features using a web browser.

The CTM system combines the basic functions of the Intra-day Trade Processing (ITP) and Real Time Trade Communication (RTC) systems.

### Intended Audience

This user guide is intended for CBOE Options Member Firms interested in the Trade Match administrator and data entry functions.

### Window Settings

The recommended resolution to view CTM windows is 1280 x 1024 pixels. If your desktop display is set to a lower resolution, you will have to use the scroll bar to view CTM windows in their entirety.

CTMI functionality is designed to work with Internet Explorer Version 6.x. Using a different browser or version may have unpredictable results.

### Note About Displayed Screens

An attempt is made to show the current look and format of screens that are included in this document. However, the displays here may not reflect recent changes to these browser screens. Also, information displayed on the screens may not reflect true production data.

### Conventions Used in this Guide

The CBOE Trade Match system was designed so that you can perform all of your administrative functions from a web browser. All web browser functionality applies to the CTM system.

Section 1 of the document illustrates how to perform the necessary Member Firm functions. Additional information about window configuration and sizing can be found in Section 2: Reference Guide.

There are conventions used throughout this guide to help trigger important information:


**Bolding** Used to highlight menu selections (e.g., **Login**) and button names (e.g., **Update**)

📌 **Note:** This notation is used to indicate important information you should note when performing the associated function.



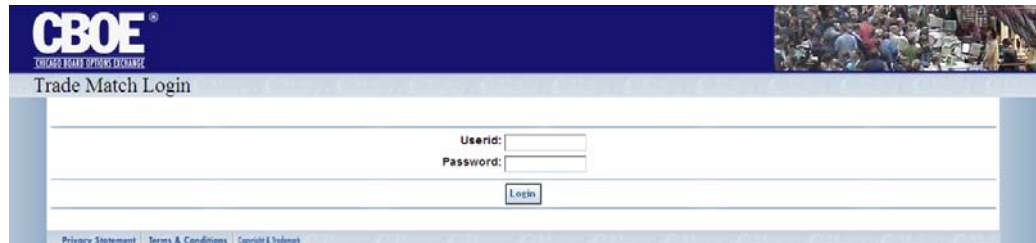
## Section 1: CBOE Trade Match

This section of the user guide will direct you through all the Member Firm functions of CBOE's Continuous Trade Match system using a web browser.

 **Note:** On most screens pressing the **Enter** key on your keyboard will accomplish the same process as clicking a highlighted button with the mouse.

## Getting Started

To launch the CTM application, open an Internet browser window and enter **URL**: <https://tradematch.cboe.com>. The following login window will display.

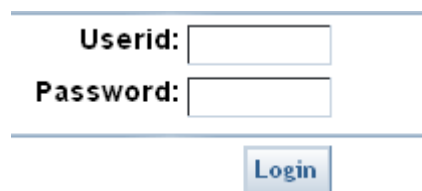


### Functionality Restrictions

Functionality restrictions apply based on your User ID, Password and Role.

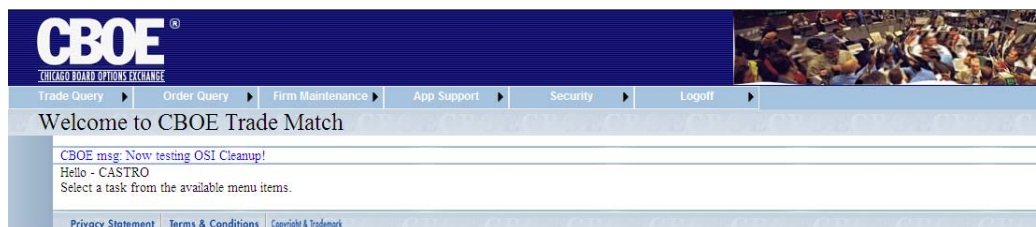
### Login

Enter your User ID and Password. Neither User ID nor Password is case sensitive. If you are setup to use RSA token, in the Password field, type in your password followed by your RSA token value. Do not enter a space between the password and token value.



Click **Login**.

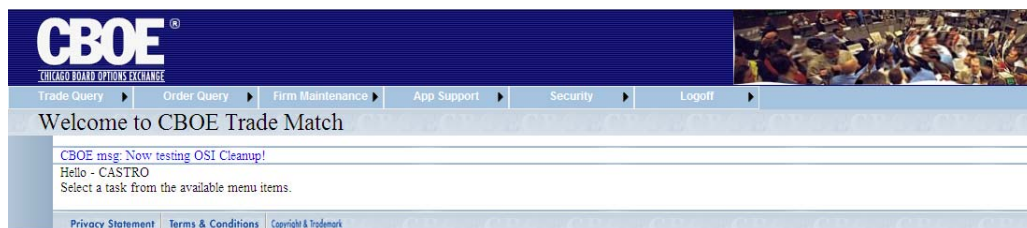
The CTM **Welcome** window will display the **TradeQuery**, **OrderQuery**, **Firm Maintenance**, **App Support**, **Security** and **Logoff** tabs.



You are now ready to perform CTM functions.

## Trade Query

From the Trade Query tab, you can query trades, browse trade messages and enter trades into the system. Click on the **Trade Query** tab to display the sub-menus for these functions.



### Functionality Restrictions

**ENTRY** level: query trades, correct trades, allocate trades, browse trade messages, reprocess trade messages, enter trades

**CONTROL** level: browse trade messages, administer firm authorizations, view firm statistics, maintain users and passwords

**ALL** level: all functions above

### Options Trade Query

The CTM trade query functionality allows you to display trade information based on the filters you provide. To display the Trade Query window, click on the **Trade Query** option. The following window will display.

Trade Query
Trade Query
Trade Entry
Trade Message
Deferred Trade
Trade Checking Query

### Query Options Trade Data

CTM trade data is queried by using combinations of the fields in the Trade Query window. Below is a description of each field. Fields that have astericks (\*\*) are used for exact match search criteria.

- Firm Number\*\*: refers to the executing Firm's (EXEC Firm) number. The Firm number is selected from the drop down list.
- Class Symbol\*\*: this is a text field and allows you to enter the class symbol you wish to query (i.e. IBM).



- **Put/Call\*\*:** refers to the type of option. You can elect to query by Call, Put or Both by making your selection from the dropdown list. The default is Both.
- **Expiration Date:** this is a text field that allows you to enter the date the security will expire. The allowable format is (MMDDYYYY), or click on the field to display the calendar option.
- **Exercise Price:** allows you to enter the expiration price of the security. The allowable format is: 42 4 (42<space>4).
- **Premium:** this is a text field that can be used to enter the premium price of the security. The allowable format is: 72.65.
- **Records to retrieve:** you can select the number of data rows to display on the window from this dropdown list. The default is 100 rows.
- **Transaction Number:** trade identification number
- **CMTA\*\*:** Clearing Member Trade Agreement provides non-member firms (who have clearing numbers with the OCC) a way to trade at the Exchange through member firms who contractually agree to submit trades for them.

📌 **Note:** Enter "\*" in the CMTA field to query trades with no CMTA.

- **Executing Broker\*\*:** the acronym of the broker executing the trade.
- **ORSID:** identification number from the ORS system
- **MM Account\*\*:** allows you to query trades by Market Maker Account.
- **Status\*\*:** allows you to query by matched or unmatched trades, trades with errors or all trades. Make your selection from the dropdown list.
- **Origin\*\*:** account type that identifies the type of trade origin. E.g. customer, firm, market maker, etc. Make your selection from the dropdown list.
- **Input Type\*\*:** the system where the trade was entered.
- **Trade Date:** to choose the current business day for your query, click **Today**. To display all trades previous to the current business day, click **As of**. If neither radio button is selected, both current and As of trades are retrieved.

In the Options example above, the data request is filtered based on Firm **551** for both **Puts/Calls** for all trades for the current business day. The **Status, Origin and Input Types** are set to All. The query will display up to 100 records per window.

Click **Search**. Your query will display.

📌 **Note:** Some trades returned to the screen may have data errors. Errors by trade will be given in a box in the upper left part of the screen. For details, *refer to the Data Errors section, page 14.*

Trade Query March 17, 2011

---

Firm Number:  Records to retrieve:  Trades found for query: 3 Page: 1

Class Symbol:  Transaction Number:  Status:

Put/Call:  CMTA:  Origin:

Expiration Date:  Executing Broker:  Input Type:

Exercise Price:  ORSID:  Trade Date: ☐ Today ☐ As Of

Premium:  MMAcot:

---

#	Alloc	Upd	S	Trans Number	Firm	Bkr	P	Qty	Class	P	Exp Date	Exer Price	Prem Price	O	Opp Firm	Opp Bkr	CMTA	Org Ind	MM Act	Time Exec	Optional Data	ORSID	Imp Typ	Trade Date	Cust ID
1	Alloc	<input type="checkbox"/>	U	I000002	551	ABC	B	300	F	C	01/21/12	17.4	1.65	O	161	ZZZ		C		08:35:02				T	03/21/11
2	Alloc	<input type="checkbox"/>	U	I000003	551	ABC	B	250	FDX	C	01/21/12	95.0	8.60	O	501	ZZZ		C		08:35:04				T	03/21/11
3	Alloc	<input type="checkbox"/>	U	I000001	551	ABC	B	200	GOOG	C	01/21/12	360.0	20.00	O	549	XXH		C		08:35:00				T	03/21/11


Export To [CSV](#) [Excel](#) [XML](#)

**Trades found for query** shows the count of all stored trades that satisfy the query. However, the window only displays up to the number selected by the **Records to retrieve** drop-down list.

To view additional trades, click **Next Trades**.

Click **Search** at anytime to refresh the window for the current query.

To view trades that were earlier displayed, click **Previous Trades**.

Data columns that display the up/down arrows  can be sorted. Click on the column name to perform an ascending or descending sort. This only sorts data last retrieved into the current screen.


Clicking on the **Export To** links on the bottom of the page will fill a form with data from the screen in the selected format. For instructions on exporting CTM data to CSV, Excel or XML format, refer to the section *Customize and Export CTM Windows*, page 40.

## Options Trade Correction

You can make corrections to trade data by selecting the **Upd** (Update) checkbox for a particular data row. To select multiple trades for correction, select the **Upd** (Update) checkbox for each data row to correct.

If 200 or fewer trades are returned from a query, **Select All** and **Clear All** buttons are enabled.

- Click **Select All** to choose all the **Upd** (Update) checkboxes.
- Click **Clear All** to deselect all the **Upd** (Update) checkboxes.

 **Note:** Data errors will be shown in a box at the top of the screen. No partial trade corrections are allowed; all errors must be corrected. For details, refer to the *Data Errors* section, page 14.

Click the **Update Trades** button at the bottom of the screen. The Trade Correction window will display.

Trade Correction March 17, 2011

---

Expiration Date is 'MM DD YYYY'

Firm: 551	Transaction Number: 1000002	Trade Date: 110321	Status: Unmatched
Class: F	Put/Call: Call	Expiration Date: 01/21/2012	Exer Price: 00017 4
Buy/Sell: Buy	Executing Broker: ABC	Quantity: 300	Prem Price: 0001 65
Open/Close: Open	Origin: C - Customer	Opp Brkr: ZZZ	Opp Firm: 161
Execution Time: 083502	Mkt Mkr Acct:	CMTA:	Customer ID:
Halt Ind:	Optional Data:	Notes:	

[Return to Trade Query](#)

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The Firm, Transaction Number, Trade Date, Status and Execution Time cannot be changed.

↳ **Note:** The Execution Time can only be changed for terminal entered trades ("T") or batch trades ("B").

- Click **Refresh** at anytime to bring back original values for the displayed trade.
- Make corrections to the desired fields. Click **Save Changes**. The corrections will be saved in the system.
- Clicking **Override** allows you to enter the trades into the CTM system with invalid or missing fields.

↳ **Note:** If you selected multiple trades for correction from the Trade Query window, the next trade will automatically display. If you wish to skip the trade without making corrections, click **Skip Trade**.

- If you wish to delete the trade displayed for corrections, click **Delete**. The trade will be removed from the system.
- Click **Return to Trade Query** link to exit the Trade Correction window.

The Bulk Update feature on the Trade Query window allows you to apply the same corrections to multiple trades at one time.

Trade Query March 17, 2011

---

Firm Number: 551 Records to retrieve: 100 Trades found for query: 3 Page: 1

Class Symbol: Transaction Number: Status: All  
 Put/Call: Both CMTA: Origin: All  
 Expiration Date: Executing Broker: Input Type: All  
 Exercise Price: ORSID: Trade Date: Today As Of  
 Premium: MMAcct: Search

#	Alloc	Upd	S	Trans Number	Firm	Bkr	B	S	Qty	Class	P	C	Exp Date	Exer Price	Prem	O	Opp Firm	Opp Bkr	CMTA	Org Ing	MM Act	Time Exec	Optional Data	ORSID	Inp Typ	Trade Date	Cust ID	
1	Alloc	<input checked="" type="checkbox"/>	U	1000002	551	ABC	B	300	F	C			01/21/12	17.4	1.65	O	161	ZZZ		C		08:35:02				T	03/21/11	
2	Alloc	<input checked="" type="checkbox"/>	U	1000003	551	ABC	B	250	FDX	C			01/21/12	95.0	\$8.0	O	501	ZZZ		C		08:35:04				T	03/21/11	
3	Alloc	<input type="checkbox"/>	U	1000001	551	ABC	B	200	GOOG	C			01/21/12	360.0	20.00	O	549	XXH		C		08:35:00				T	03/21/11	

Export To: CSV Excel XML

Select All Clear All

Update Trades Bulk Update

- Click the **Select All** button or select the **Upd** checkboxes of the trades you wish to correct.
- Click **Bulk Update**. The following window will display.

Bulk Update March 17, 2011

---

Firm: 551 Trades selected: 2

Warning: Changes will apply to all trades selected. ENTIRE CONTENTS OF OPTIONAL DATA WILL BE REPLACED IF MODIFIED.

Sel	CMTA	Sel	Open / Close	Sel	Origin	Sel	MM Acct	Sel	Optional Data																Sel	Customer ID
<input type="checkbox"/>		<input checked="" type="checkbox"/>	Open	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	<input type="checkbox"/>	
<input type="checkbox"/>	Blank out all CMTAs			<input type="checkbox"/>	Blank out all MMAccts				Displayed Optional Data is from 1st trade record selected.																	Blank out all Customer IDs

Update

[Return to Trade Query](#)

Corrections that you make on the **Bulk Update** screen will apply to the trades you selected on the **Trade Query** screen. Modifiable fields include: CMTA, Open/Close, Origin, MM Acct and Optional Data.

- A checkbox must be selected for each field to be edited. If you decide not to edit the field, deselect the checkbox.
- The CMTA and MM Acct fields have special checkboxes that indicate those fields will be blanked out on the trades.
- The Optional Data field remains as 16 characters. The field has been split into 16 separate text boxes to help you enter data in specific columns; any columns left empty will be filled with blank spaces. Changing even one column in Optional Data will cause the entire 16 character field to be replaced in all trades selected. There are no partial field updates.
- Click **Update** to enter your changes. The system will display a message text box

showing how many successful and unsuccessful updates there were for the selected trades. For any unsuccessful updates another message box will identify those trades and the problem with each of them.

**Bulk Update** March 17, 2011

Messages:

- Successful updates = 2
- Unsuccessful updates = 0

Firm: 551 Trades selected: 2

Warning: Changes will apply to all trades selected. ENTIRE CONTENTS OF OPTIONAL DATA WILL BE REPLACED IF MODIFIED.

Sel	CMTA	Sel	Open / Close	Sel	Origin	Sel	MM Acct	Sel	Optional Data																Sel	Customer ID
>	>	>	>	>	>	>	>	>	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	>	
<input type="checkbox"/>		<input checked="" type="checkbox"/>	Open	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>																	<input type="checkbox"/>	
<div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> Blank out all CMTAs  <input type="checkbox"/> Blank out all MMAccts         </div> <div>Displayed Optional Data is from 1st trade record selected.</div> <div> <input type="checkbox"/> Blank out all Customer IDs         </div> </div>																										


[Update](#)

[Return to Trade Query](#)

- You can return to the Trade Query window at any time by clicking, **Return to Trade Query**.

## Options Trade Allocation

The allocation window allows you to split a contract quantity on a previously entered trade between two or more CMTA Firms. From the **Trade Query** window, click the **Allocation** link in the **Action** column. The following window will display.

 **Note:** Data errors will be shown in a box at the top of the screen. For details, refer to the Data Errors section, page 14.

**Trade Allocation** March 17, 2011

Firm: 551  
Status: U  
Expiration Date: 01/21/12  
Execution Time: 083502  
Original Qty: 300

Trans Number: I000002  
Class: F  
Exercise Price: 00017.4  
CMTA Firm:  
Remaining Qty: 300

Trade Date: 110321  
Exec Brk: ABC  
Premium Price: 0001.65  
Open/Close: O  
Customer ID:

Buy/Sell: B  
Origin: C  
MM Acct:  
Optional Data:

Ex Firm	CMTA Firm	Quantity	Open Close	Origin	Optional Data	Customer ID	MM Acct
551	001	100	Open	C - Customer			
551			Open	C - Customer			
551			Open	C - Customer			
551			Open	C - Customer			
551			Open	C - Customer			
551			Open	C - Customer			
551			Open	C - Customer			
551			Open	C - Customer			
551			Open	C - Customer			
551			Open	C - Customer			
551			Open	C - Customer			

[Refresh](#) [Save Changes](#)

[Return to Trade Query](#)

All allocations will initially default to the Open/Close, Origin, and Optional Data values of the original trade.

- Enter the CMTA Firm number.
- Enter the quantity you want to allocate to the CMTA Firm. The entire original trade quantity must be allocated.
- Select Open or Close from the drop down list. You may leave this blank, which is

treated like Open.

- You can click **Refresh** at anytime to clear the data you have entered.
- Click **Save Changes**. The trade quantity will be allocated to the chosen CMTA Firms.
- If at anytime you wish to return to the Trade Query window, click **Return to Query Screen**.

🔗 **Note:** Options trades can be allocated even if the original trade has errors.

## Data Errors

Data errors for Trade Query windows will be shown in a box at the top of the window. The error box lists all the corrections that need to be made to the identified trade. No partial corrections for a trade will be accepted until all errors are corrected for that trade. All errors must be corrected before a trade can be matched.



Click on the link for a particular error (i.e. **Line 1 has invalid fields: Executing Broker**). The system will bring you to the selected line in the query. In this example, the Executing Broker field needs to be corrected for the first four errors.

## Trade Entry

This **Trade Entry** window is used to enter trades directly into Trade Match without coming from another data input system.

To open the Trade Entry window, click **Trade Query** and then select **Trade Entry**.

Trade Query
Trade Query
Trade Entry
Trade Message
Deferred Trade
Trade Checking Query

Trade Entry																		
<div>Trade Query ▶ Order Query ▶ Firm Maintenance ▶ App Support ▶ Security ▶ Logoff ▶</div>																		
<div>Firm: 551</div> <div>Asof Date(blank = today): 03/11/2011</div>																		
Dup	Buy Sell	Exec Brkr	Qty	Put Call	Class	Look Up	Expiration Day (MM/DD/YYYY)	ExrP Dol	ExrP Frc	PPrc Dol	PPrc Frc	O C	Origin	Opp Brkr	Opp Firm	CMTA	MM Acct	Exec Time
	Buy			Call		🔍							C - Customer					
	Buy			Call		🔍							C - Customer					
	Buy			Call		🔍							C - Customer					
	Buy			Call		🔍							C - Customer					
	Buy			Call		🔍							C - Customer					
	Buy			Call		🔍							C - Customer					
	Buy			Call		🔍							C - Customer					
	Buy			Call		🔍							C - Customer					
	Buy			Call		🔍							C - Customer					
	Buy			Call		🔍							C - Customer					
	Buy			Call		🔍							C - Customer					
Save Changes																		



## Enter a Trade

- Select the Firm number from the dropdown list.
- Click on the **Asof Date** text box and a calendar will display. Alternately, you may type in the **Asof** (trade) date in format **mm/dd/yyyy** (03/14/2011).

?	March, 2011						x
<<	<	Today				>	>>
wk	Sun	Mon	Tue	Wed	Thu	Fri	Sat
8			1	2	3	4	5
9	6	7	8	9	10	11	12
10	13	14	15	16	17	18	19
11	20	21	22	23	24	25	26
12	27	28	29	30	31		
Select date							

- Select the **Asof** date you wish to use. If this field is left blank, the data will default to the current day.
- Key in the required trade information. Required fields include: Class, Expiration Month (MM), Expiration Year (YY), Exercise Price, Premium Price, Open/Close, Origin, Opposite Firm (Opp Firm) and Opposite Broker (Opp Brkr).


Trade Entry Ma

Firm: 551

Asof Date(blank = today): 03/11/2011

Dup	Buy Sell	Exec Brkr	Qty	Put Call	Class	Look Up	Expiration Day (MM/DD/YYYY)	ExrP Dol	ExrP Frc	PPrc Dol	PPrc Frc	O C	Origin	Opp Brkr	Opp Firm	CMTA	MM Acct	Exec Time	Opti Data
	Buy	IBM	100	Call	IBM		01/22/2011	30	00	1	10	0	C - Customer						
	Buy	IBM		Call	IBM		01/22/2011	30	00	1	10	0	C - Customer						
	Buy			Call									C - Customer						
	Buy			Call									C - Customer						
	Buy			Call									C - Customer						
	Buy			Call									C - Customer						
	Buy			Call									C - Customer						
	Buy			Call									C - Customer						
	Buy			Call									C - Customer						
	Buy			Call									C - Customer						
	Buy			Call									C - Customer						


Save Changes

Click  to duplicate trade data from previous line. This will not copy quantity, opposite firm and opposite broker.

Click **Save Changes**. The trades are entered in the system.

The **Override** button will appear if there are field errors.

Trades that contain edit errors are returned to the screen with the error fields highlighted. These erroneous trades may either be corrected or reentered, or their rejection may be overridden. An invalid OPPOSITE BROKER can be overridden by clicking the **Save Changes** button a second time. This will not work for other field errors. The trade will have a status of Error.

 **Note:** This should only be used to force in a trade if the user plans to go back later and correct the fields in error.

**Trade Entry** Marc

The following warnings are issued:

- Line 1 has invalid fields: Executing Broker, Open Close Code, Opposite Broker,
- Line 2 has invalid fields: Executing Broker, Open Close Code, Opposite Broker, Trade Quantity,

Firm:

As of Date(blank = today):

Dup	Buy Sell	Exec Brkr	Qty	Put Call	Class	Look Up	Expiration Day (MM/DD/YYYY)	ExpP Dol	ExpP Frc	PPre Dol	PPre Frc	O C	Origin	Opp Brkr	Opp Firm	CMTA	MM Acct	Exec Time	Opti Data
	Buy	IBM	100	Call	IBM		01/22/2011	30	0	1	10	0	C - Customer					124204	
	Buy	IBM		Call	IBM		01/22/2011	30	0	1	10	0	C - Customer					124103	

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All valid trades should have been added and will not be re-displayed at this point. A message will show the number of trades that were added.

## Trade Message

The Trade Message window allows you to browse messages for your receiving or sending Firms.

To display the Trade Message window, click on the Trade Query tab and then select **Trade Message**. The following window will display.

**Trade Query**

Trade Query

Trade Entry

Trade Message

Deferred Trade

Trade Checking Query

**Trade Message Browse**

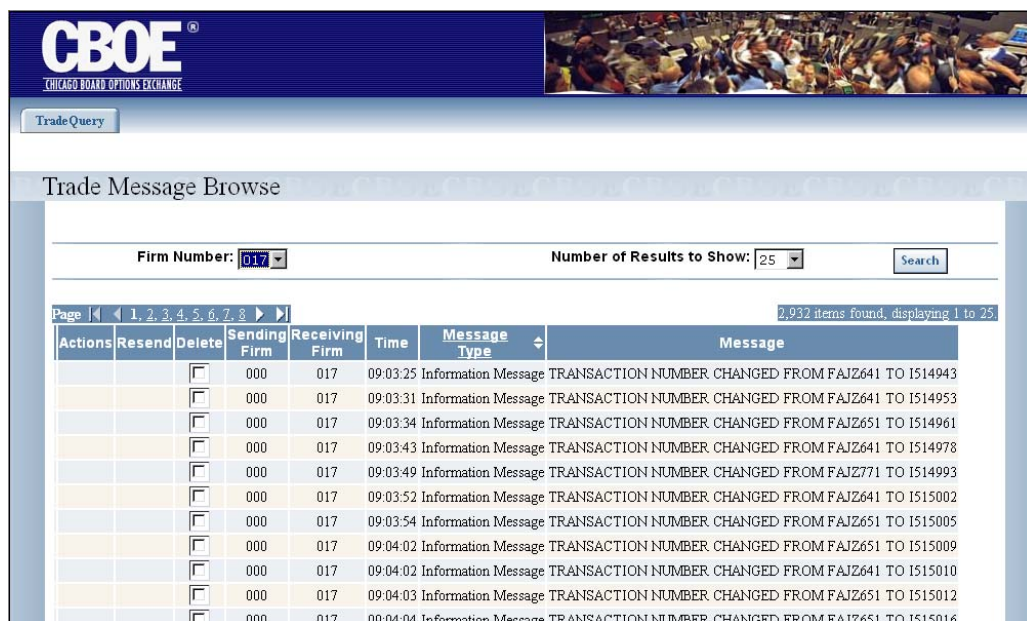
Firm Number:  ☐ Fatal Message Only

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To browse messages for a particular Firm:

- Select the **Firm Number** from the dropdown list box.
- Click **Search**. The following window will display.






Trade Message Browse

Firm Number:  Number of Results to Show:

Page  1, 2, 3, 4, 5, 6, 7, 8 2,932 items found, displaying 1 to 25

Actions	Resend	Delete	Sending Firm	Receiving Firm	Time	Message Type	Message
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	000	017	09:03:25	Information Message	TRANSACTION NUMBER CHANGED FROM FAJZ641 TO I514943
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	000	017	09:03:31	Information Message	TRANSACTION NUMBER CHANGED FROM FAJZ641 TO I514953
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	000	017	09:03:34	Information Message	TRANSACTION NUMBER CHANGED FROM FAJZ651 TO I514961
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	000	017	09:03:43	Information Message	TRANSACTION NUMBER CHANGED FROM FAJZ641 TO I514978
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	000	017	09:03:49	Information Message	TRANSACTION NUMBER CHANGED FROM FAJZ771 TO I514993
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	000	017	09:03:52	Information Message	TRANSACTION NUMBER CHANGED FROM FAJZ641 TO I515002
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	000	017	09:03:54	Information Message	TRANSACTION NUMBER CHANGED FROM FAJZ651 TO I515005
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	000	017	09:04:02	Information Message	TRANSACTION NUMBER CHANGED FROM FAJZ651 TO I515009
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	000	017	09:04:02	Information Message	TRANSACTION NUMBER CHANGED FROM FAJZ641 TO I515010
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	000	017	09:04:03	Information Message	TRANSACTION NUMBER CHANGED FROM FAJZ651 TO I515012
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	000	017	09:04:04	Information Message	TRANSACTION NUMBER CHANGED FROM FAJZ651 TO I515016

From the **Trade Message Browse** window you can view the time the message was created along with a description of the message type and the actual message text.

Click the  in Message Type column to perform a column sort.

To view another page, click on a page number and scroll through the window.

	<input type="checkbox"/>	T13	501	17:21:07	Information Message	145849 2061971040209REM DBW66145856D AN3000 QQQQQQQQQQQQQQQQQQQQQQQQQQQQQQ
	<input type="checkbox"/>	T11	773	14:37:00	Information Message	AT 143700 DELETED I000864 ADDED CMTA TRANS I901096 I901097 132827 2048654040209REM 132833D AN3000 QQQQQQQQQQQQQQQQQQQQQQQQQQQQQQ
	<input type="checkbox"/>	T11	773	15:48:33	Information Message	AT 154833 DELETED I000832 ADDED CMTA TRANS I901383 I901384 132305 2047867040209REM 132311D AN 000 QQQQQQQQQQQQQQQQQQQQQQQQQQQQQQ
	<input type="checkbox"/>	T11	773	15:51:04	Information Message	AT 155104 DELETED I000675 ADDED CMTA TRANS I901390 I901391 115907 0000000 UB 151215D AN3000 QQQQQQQQQQQQQQQQQQQQQQQQQQQQQQ
Message Maintenance	<input type="checkbox"/>	T12	792	10:30:23	Fatal Message	A2792 JOD 00012CHAN 0408 0025 000530 CC671 MZE 036 944 094302094F000095 QQQQQQQQQQQQQQQQQQQQQQQQQQQQQ 132005
Message Maintenance	<input type="checkbox"/>	T12	792	10:40:18	Fatal Message	D 792 02094F000095 QQQQQQQQQQQQQQQQQQQQQQQQQQQQQ 080006
	<input type="checkbox"/>	T12	792	13:25:43	Information Message	TRANSACTION NUMBER CHANGED FROM FSCZ64A TO I100019. 132543 0000000 U GLC23 D AY3000792040209 QQQQQQQQQQQQQQQQQQQQQQQQQQQQQQ
	<input type="checkbox"/>	T12	792	13:25:43	Information Message	TRANSACTION NUMBER CHANGED FROM FSCZ64A TO I100020. 132543 0000000 U GLC23 D AY3000792040209 QQQQQQQQQQQQQQQQQQQQQQQQQQQQQQ
	<input type="checkbox"/>	T12	792	13:43:11	Information Message	TRANSACTION NUMBER CHANGED FROM FSCZ64A TO I100021. 134311 0000000 U GMB43 D AY3000792040209 QQQQQQQQQQQQQQQQQQQQQQQQQQQQQQ
	<input type="checkbox"/>	T12	792	13:43:12	Information Message	TRANSACTION NUMBER CHANGED FROM FSCZ64A TO I100022. 134311 0000000 U GMB43 D AY3000792040209 QQQQQQQQQQQQQQQQQQQQQQQQQQQQQQ
	<input type="checkbox"/>	T12	792	14:31:55	Information Message	TRANSACTION NUMBER CHANGED FROM FSCZ64A TO I100055. 143155 0000000 U FYE65 D AY3000792040209 QQQQQQQQQQQQQQQQQQQQQQQQQQQQQQ

To resend fatal messages, click **Resend All FataIs**. This attempts to take trade fatal messages and add them as new trades.

You can select specific Fatal messages to resend by selecting the associated **Resend** box and clicking on the **Save Changes** button.

### View Fatal Messages

Messages that have serious errors display as **Fatal Message** types in the Trade Message Browse window.

To view the fatal message and make corrections, click **Message Maintenance** in the **Action** column. The following window will display.

The screenshot shows the 'Message Maintenance' window for Message ID: 310019. It contains various input fields for transaction details and a table for 'Contra Sides'.

Transaction Details:

- Message ID: 310019
- Firm: SS1
- Transaction Code: Add
- Put/Call: Put
- Exercise Price: 0045.0
- Origin: T - In Crowd Market Maker
- Optional Data:
- Buy/Sell: Buy
- Class: KUF
- Premium Price: 0003.10
- CMTA:
- Date: 06/26/06
- Executing Broker: LDL
- Expiration Date: 06/06
- Open/Close: Open
- Market Maker: QGO

Contra Sides Table:

Contra Sides	Quantity	Opp Firm	Opp Broker	Exec Time	Transaction Number
1.	00002	411	DOH	083010	S950018
2.					
3.					
4.					
5.					
6.					
7.					
8.					

Buttons: Resend, Delete

Link: [Return to Message Screen](#)

- Select your action from the **Transaction Code** drop down list. You have the option of adding, changing or deleting trade data.
- Overtyping the data fields as required.
- Enter the Contra Sides information, if required.
- Click **Re-send**. The trade will be resubmitted to CTM for validation.
- Click **Return to Message Screen** to exit the Message Maintenance window.

### Delete a Message

The system allows you to delete informational messages from the Trade Message browser screen.

To delete a message:

- Click on the **Delete** column check box pertaining to the data row you wish to delete.
- Click **Save Changes**.

Fatal messages can be deleted from the Message Maintenance window by clicking on the **Delete** button.

## Deferred Trades

Certain trades originating in OHS can be marked as 'deferred,' which allows them to be reprocessed in CTMI/CTMr so that they can exist as executed trades. These messages are displayed in the Deferred Trade Browse window.

To display the Deferred Trade Browse window, click on the Trade Query tab and then select **Deferred Trade**. The Deferred Trade Browse window will display. You can browse deferred trades by executing Firms.

Trade Query
Trade Query
Trade Entry
Trade Message
Deferred Trade
Trade Checking Query

To browse deferred trades for a particular Firm:

- Select the **Firm Number** from the dropdown list box.
- Click **Search**. The deferred trades will display. By default, all deferred trades are initially displayed if you have full system security access.

From the **Deferred Trade** window you can view the time the message was created and the actual message text.

To resend all deferred trade messages, click **Resend All Deferred Trades**. This attempts to take deferred trades messages and add them as new trades.

You can select specific messages to resend by selecting the associated **Resend** box and clicking on the **Process Selection** button.

## View Deferred Trade Messages

To view the deferred trades and make corrections, click **Deferred Message Maintenance** in the **Action** column. The following window will display.

- Select your action from the **Transaction Code** drop down list. You have the option of adding, changing or deleting trade data.
- Overtyping the data fields as required.
- Enter the Contra Side (opposite) information, if required.
- Click **Re-send**. The trade will be resubmitted to CTM for validation.
- Click **Delete** if you wish to remove this trade message from the system. You will be prompted to verify the delete request.
- Click **Return: Deferred Trade Browse** to exit the Deferred Trade Maintenance window.

### Delete a Message

The system allows you to delete deferred trade messages from the Deferred Trade Browse screen.

To delete a message:

- Click on the **Delete** column check box pertaining to the data row you wish to delete.
- Click **Process Selection**. You will be prompted to verify the delete request.

Deferred Trade messages can be deleted from the Deferred Trade Maintenance window by clicking on the **Delete** button.

## Trade Checking Query

The CTM trade checking query allows you to display trade information for your Firm. To display the Trade Checking Query window, click on the **Trade Query** tab and then select **Trade Checking Query**. The following window will display.

Trade Query
Trade Query
Trade Entry
Trade Message
Deferred Trade
Trade Checking Query

Trade Checking Query				March 21, 2011	
Authorization: Firm 551					
Firm Number**:	AB	Records to retrieve:	1000	Trades found for query:	0
Class Symbol**:		Put/Call**:	Both	Expiration Date**:	
				Exercise Price:	
Search					
<a href="#">Privacy Statement</a> <a href="#">Terms &amp; Conditions</a> <a href="#">Copyright &amp; Trademark</a>					

The Authorization field defaults to your Firm. You can filter your query by **Firm Number**, **Class Symbol**, **Put/Call**, **Expiration Date** or **Exercise Price**. The query will display up to 1000 records per window.

The above filter is set to query for all Firms and for both puts and calls. Click **Search**. The following window will display.

Trade Checking Query March 21, 2011

The following error(s) occurred:

- Line 11 has invalid fields: Series

Authorization: Firm 551

Firm Number:  Records to retrieve:  Trades found for query: 13 Page: 1

Class Symbol:  Put/Call:  Expiration Date:  Exercise Price:


13 items found, displaying all items

Add	#	Alloc	Upd	S	Exec Firm	Opp Firm	Exec Bkr	Opp Bkr	Buy Qty	Sell Qty	Prem	P	C	Class	Exp Date	Exer Price	Acct	O	C	Org	TMX	Trade Date	Trans Nbr
<input type="checkbox"/>	1	Alloc	<input type="checkbox"/>	U	551	695	MMM	XXH	75		35.00	C		GOOG	01/21/12	390.0		C	F	14:30:30	03/11/11	I000008	
<input type="checkbox"/>	2	Alloc	<input type="checkbox"/>	U	551	695	MMM	XXH	100		35.00	C		GOOG	01/21/12	390.0		C	F	14:30:30	03/11/11	I000008B	
<input type="checkbox"/>	3	Alloc	<input type="checkbox"/>	U	551	695	MMM	XXH	125		35.00	C		GOOG	01/21/12	390.0		C	F	14:30:30	03/11/11	I000009	
<input type="checkbox"/>	4	Alloc	<input type="checkbox"/>	U	551	695	MMM	XXH	200		35.00	C		GOOG	01/21/12	390.0		C	F	14:30:30	03/11/11	I00000A	
<input type="checkbox"/>	5		<input type="checkbox"/>	U	501	549	ABC	XXH	100		4.95	C		K	01/21/12	55.0		O	C	08:45:00	03/11/11	I000001	
<input type="checkbox"/>	6		<input type="checkbox"/>	U	501	005	BRK	MMM	300		4.95	C		K	01/21/12	55.0		O	C	08:45:00	03/11/11	I000003	
<input type="checkbox"/>	7	Alloc	<input type="checkbox"/>	U	551	501	ABC	BRO	400		1.15	C		MOT	01/21/12	12.4		O	F	12:30:45	03/11/11	I000006	
<input type="checkbox"/>	8		<input type="checkbox"/>	U	501	161	ABC	ZZZ	150		4.70	C		QQQQ	03/31/11	49.0		O	B	08:45:00	03/11/11	I000002	
<input type="checkbox"/>	9	Alloc	<input type="checkbox"/>	U	551	161	BRK	XXH	200		50.00	C		SPX	03/19/11	525.0		O	C	12:30:45	03/11/11	I000004	
<input type="checkbox"/>	10	Alloc	<input type="checkbox"/>	U	551	552	BRK	ZZZ	300		65.00	P		SPX	06/18/11	750.0		O	C	12:30:45	03/11/11	I000005	
<input type="checkbox"/>	11	Alloc	<input type="checkbox"/>	E	551	161	ABC	ZZZ	300		0.01	C		F	01/21/12	17.40		O	C	08:35:02	03/21/11	I000002	
<input type="checkbox"/>	12	Alloc	<input type="checkbox"/>	U	551	501	ABC	ZZZ	250		8.60	C		FDX	01/21/12	95.0		O	C	08:35:04	03/21/11	I000003	

Select All Upd

**Trades found for query** shows the count of all stored trades that satisfy the query. However, the window only displays up to the number selected by the **Records to retrieve** drop-down list.

Click **Search** at anytime to refresh the window for the current query.

Data columns that display the up/down arrows  can be sorted. Click on the column name to perform an ascending or descending sort. This only sorts data last retrieved into the current screen.

## Add Opposite Side of Trade

The trade checking query window allows you to add the opposite side of a trade on a previously entered trade. From the **Trade Checking Query** window, click the checkbox in the **Add** column. The following window will display.

Trade Checking Add Marc

Firm:


As of Date (blank = today):


Dup	Buy Sell	Exec Bkr	Qty	Put Call	Class	Look Up	Expiration Day (MM/DD/YYYY)	Exp Del	Exp P Frc	P Prc Del	P Prc Frc	O C	Origin	Opp Bkr	Opp Firm	CMTA	MM Acct	Exer Time	Optl Data
	Sell	MMM	300	Call	K		01/21/2012	00055	0	0004	95		C - Customer	BRK	501			084500	
	Buy	MMM	75	Call	K		01/21/2012	55	00				C - Customer						
	Buy			Call									C - Customer						
	Buy			Call									C - Customer						
	Buy			Call									C - Customer						
	Buy			Call									C - Customer						
	Buy			Call									C - Customer						
	Buy			Call									C - Customer						
	Buy			Call									C - Customer						
	Buy			Call									C - Customer						

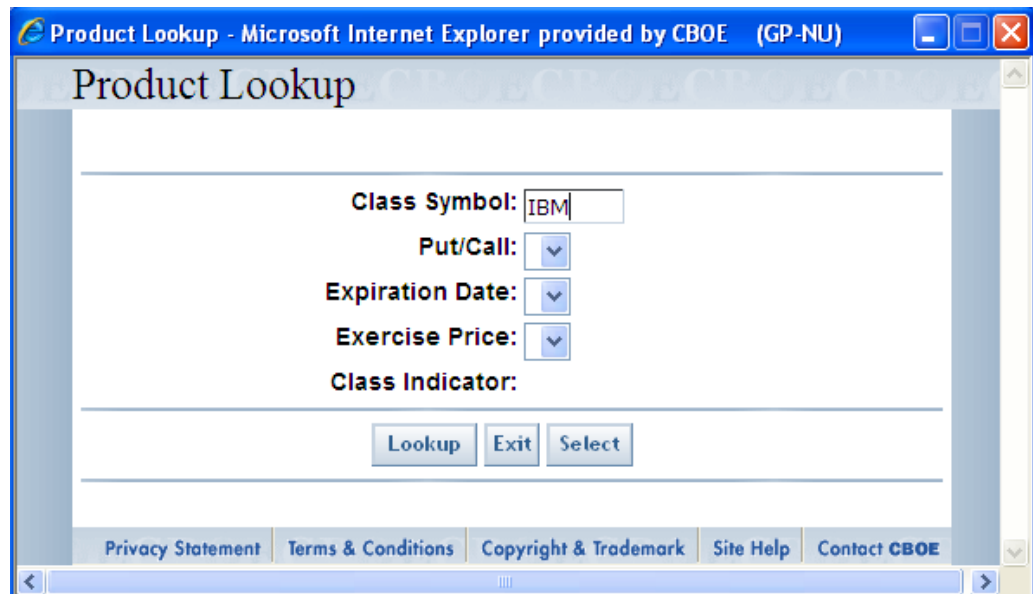
[Return](#)

The original trade displays on the top row.

- Select the Firm number from the dropdown list.

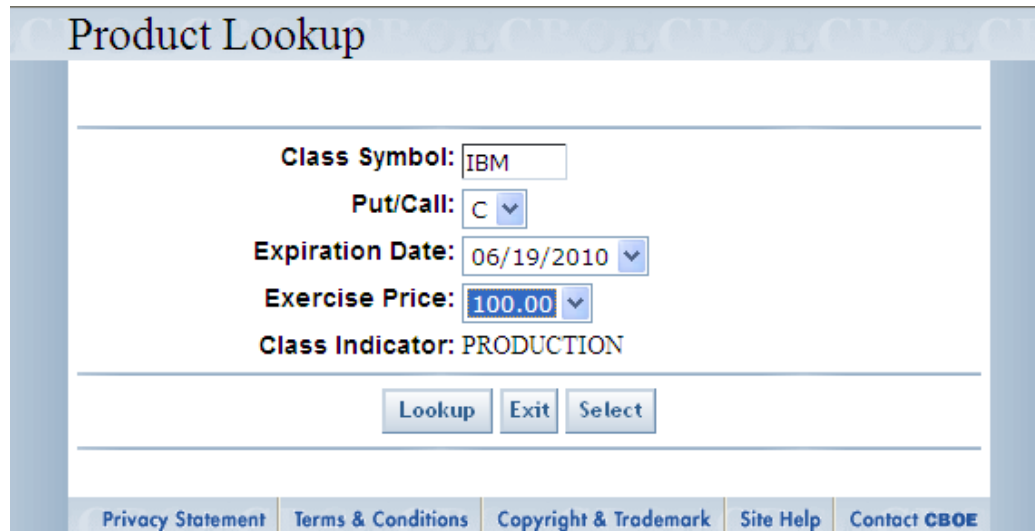
- Click on the **Asof Date** text box and a calendar will display. Alternately, you may type in the **Asof** (trade) date in format **mm/dd/yyyy** (03/11/2011).
- To enter the opposite side of the trade:
  - Click  to duplicate trade data from previous line. This will not copy quantity, opposite firm and opposite broker.
  - Or, key in the required trade information. Required fields include: Exec Broker, Quantity, Put/Call, Buy/Sell, Execution Time, Class, Expiration Day (MMDDYYYY), Exercise Price, Premium Price, Open/Close, Origin, Opposite Firm (Opp Firm) and Opposite Broker (Opp Brkr).

You can predefine the trade entry product information by clicking . The Product Lookup window will display.



Enter the **Class Symbol** and click **Lookup**.



A screenshot of the 'Product Lookup' window. The window has a title bar with the text 'Product Lookup'. Below the title bar, there are several input fields and buttons. The 'Class Symbol' field contains 'IBM'. The 'Put/Call' field is a dropdown menu with 'C' selected. The 'Expiration Date' field contains '06/19/2010' and has a dropdown arrow. The 'Exercise Price' field contains '100.00' and has a dropdown arrow. The 'Class Indicator' field contains 'PRODUCTION'. Below these fields are three buttons: 'Lookup', 'Exit', and 'Select'. At the bottom of the window, there is a navigation bar with links: 'Privacy Statement', 'Terms & Conditions', 'Copyright & Trademark', 'Site Help', and 'Contact CBOE'.

The window display choices for Put/Call, Expiration Date and Exercise Price. Make your product selections from the drop down lists. The Class Indicator defaults to **Production**.

Click **Exit** to close the Product Lookup window.

Click **Select** to copy your selection to the Trade Checking Add window.

From the Trade Checking Add window, click **Save Changes**. The opposite trades are entered in the system.

Based on your permissions setup, you can make corrections to trade data from the Trade Checking Query window. For trade correction instructions, refer to the **Error! Reference source not found.** section above.

The allocation window allows you to split a contract quantity on a previously entered trade between two or more CMTA Firms. From the **Trade Checking Query** window, click the **Allocation** link in the **Alloc** column. For instructions on how to perform trade allocations, refer to the **Error! Reference source not found.** section above.

## Order Query

The Order Query window allows you to search for your individual Firm orders and related member Firms.

**Functionality** ENTRY level: Order Query, Order Allocation

**Restrictions** CONTROL level: N/A

ALL level: Order Query, Order Allocation

The CTM order query functionality allows you to display information on executed orders based on the filters you provide. To display the Order Query window, click on the **Order Query** option. The following window will display.

When you initially open the Order Query window, your Firm number is the only field that is populated. In order to display order information, you must enter the Order Date and ORSID or the Order Date, Correspondent Firm, Branch and Sequence Number.

↳ **Note:** Data errors will be shown in a box at the top of the screen.

↳ **Note:** Click on the Order Date field to display the date calendar.

Click **Search**. Consolidated Trade information will display.

↳ **Note:** An order is based on identical Executing Firm, Order Data and either ORSID or Correspondent Firm, and Sequence Number. A Consolidated Trade is trade information in common for a group of executed trades within an order. To be included in a Consolidated Trade, the individual trades must have the same Buy/Sell, Class Symbol, Put/Call, Expiration Date, Exercise Price, and Premium Price. An order can be comprised of one or more Consolidated Trades.



Order Query March 21, 2011

Firm Number:  Correspondent Firm:  Branch:  Sequence Number:   
 Order Date:  ORSID:

Consolidated Trades													
Expand	Exec Firm	B / S	Quantity	Class	P / C	Exp Date	Exer Price	Prem Price	Branch	Seq Num	Corr Firm	ORSID	Num Trades
<input checked="" type="checkbox"/>	551	1	200	SPX	C	03/19/11	\$25.0	50.00				ABC999	1
<input checked="" type="checkbox"/>	551	1	300	SPX	P	06/18/11	750.0	65.00				ABC999	1

The example above shows Firm Number: 551 and ORSID: ABC999.

If you click on the **Expand** icon (+/-) you can see details of individual trades rolled into the Consolidated Trade.

Order Query March 21, 2011

Firm Number:  Correspondent Firm:  Branch:  Sequence Number:   
 Order Date:  ORSID:

Consolidated Trades																																					
Expand	Exec Firm	B / S	Quantity	Class	P / C	Exp Date	Exer Price	Prem Price	Branch	Seq Num	Corr Firm	ORSID	Num Trades																								
<input checked="" type="checkbox"/>	551	1	200	SPX	C	03/19/11	\$25.0	50.00				ABC999	1																								
<b>Component Trades:</b> <table border="1"> <thead> <tr> <th>Trans Number</th> <th>Broker</th> <th>Qty</th> <th>O / C</th> <th>Opp Firm</th> <th>Opp Broker</th> <th>CMTA</th> <th>Orig Ind</th> <th>MM Acct</th> <th>Cust ID</th> <th>Optional Data</th> <th>Trade Date</th> </tr> </thead> <tbody> <tr> <td>I000004</td> <td>BRK</td> <td>200</td> <td>O</td> <td>161</td> <td>XXH</td> <td></td> <td>C</td> <td></td> <td></td> <td>new trade1</td> <td>03/11/11</td> </tr> </tbody> </table>														Trans Number	Broker	Qty	O / C	Opp Firm	Opp Broker	CMTA	Orig Ind	MM Acct	Cust ID	Optional Data	Trade Date	I000004	BRK	200	O	161	XXH		C			new trade1	03/11/11
Trans Number	Broker	Qty	O / C	Opp Firm	Opp Broker	CMTA	Orig Ind	MM Acct	Cust ID	Optional Data	Trade Date																										
I000004	BRK	200	O	161	XXH		C			new trade1	03/11/11																										
<input checked="" type="checkbox"/>	551	1	300	SPX	P	06/18/11	750.0	65.00				ABC999	1																								
<b>Component Trades:</b> <table border="1"> <thead> <tr> <th>Trans Number</th> <th>Broker</th> <th>Qty</th> <th>O / C</th> <th>Opp Firm</th> <th>Opp Broker</th> <th>CMTA</th> <th>Orig Ind</th> <th>MM Acct</th> <th>Cust ID</th> <th>Optional Data</th> <th>Trade Date</th> </tr> </thead> <tbody> <tr> <td>I000005</td> <td>BRK</td> <td>300</td> <td>O</td> <td>552</td> <td>ZZZ</td> <td></td> <td>C</td> <td></td> <td></td> <td>new trade2</td> <td>03/11/11</td> </tr> </tbody> </table>														Trans Number	Broker	Qty	O / C	Opp Firm	Opp Broker	CMTA	Orig Ind	MM Acct	Cust ID	Optional Data	Trade Date	I000005	BRK	300	O	552	ZZZ		C			new trade2	03/11/11
Trans Number	Broker	Qty	O / C	Opp Firm	Opp Broker	CMTA	Orig Ind	MM Acct	Cust ID	Optional Data	Trade Date																										
I000005	BRK	300	O	552	ZZZ		C			new trade2	03/11/11																										

## Order Allocation

From the Order Query window, you can split an order quantity on a previously entered order between two or more CMTA Firms. From the **Order Query** window, click the **Allocate** button. The following window will display.

Order Allocation March 21, 2011

CONSOLIDATED TRADES								ALLOCATIONS								
Exec Firm	Group	Class	P	Exp Date	Exer Price	Prem Price	Qty Remaining	Ex Firm	CMTA Firm	QTY	Open / Close	Origin	Optional Data	Cust ID	MM Acct	
551	I	200	SPX	C	03/19/11	\$25.0	50.00	200	551			Open	C - Customer	new trade1		Clear
								551			Open	C - Customer	new trade1			
								551			Open	C - Customer	new trade1			
								551			Open	C - Customer	new trade1			
								551			Open	C - Customer	new trade1			
								551			Open	C - Customer	new trade1			
								551			Open	C - Customer	new trade1			
								551			Open	C - Customer	new trade1			
								551			Open	C - Customer	new trade1			
551	I	300	SPX	P	06/18/11	750.0	65.00	300	551			Open	C - Customer	new trade2		Clear
								551			Open	C - Customer	new trade2			
								551			Open	C - Customer	new trade2			
								551			Open	C - Customer	new trade2			
								551			Open	C - Customer	new trade2			
								551			Open	C - Customer	new trade2			
								551			Open	C - Customer	new trade2			
								551			Open	C - Customer	new trade2			

[Return to Order Query Screen](#)

All allocations will initially default to the Open/Close, Origin, Optional Data, Customer ID and MM Account values of the original trade.

- Enter the CMTA Firm number.
- Enter the quantity you want to allocate to the CMTA Firm. The entire original order quantity must be allocated. If you cannot immediately allocate the entire original quantity, the system will allow you to enter a quantity for CMTA Firm "000" that you can correct later.
  - ↳ **Note:** If the order origin is M (Market Maker) or N (Non-CBOE Market Maker), the **MM Acct** field must have a value.
- Click **Clear** to remove the data from the text boxes in the allocation section of the screen. Clicking **Clear** will not remove the initial values of the trade for Open/Close, Origin, Optional Data, Customer ID and MM Account.
- Select Open or Close from the drop down list. You may leave this blank, which is treated like Open.
- You can click **Refresh** at anytime to bring back the original values in all consolidated groups.
- Click **Save Changes**. The order quantity will be allocated to the chosen CMTA Firms.
- If at anytime you wish to return to the Order Query window, click **Return to Order Query Screen**. This will also run a re-query.

## Firm Maintenance

The Firm Maintenance window enables you to perform maintenance functions for your individual Firm and related member Firms.

### Functionality Restrictions

**ENTRY** level: N/A

**CONTROL** level: Firm Authorization, Firm Statistics, ORS Correspondent Conversion

**ALL** level: Firm Authorization, Firm TCP/IP Socket Password, Firm Statistics, ORS Correspondent Conversion

### Firm Authorization

The Firm Authorization window allows you to view which Firms are authorized to perform entry, maintenance or reporting functions for their Firms. Firm operators can also add and delete authorizations for their Firms.

Click **Firm Maintenance** and then select **Firm Authorization**. The Firm Authorization window will display.

Firm Maintenance
Firm Authorization
Firm TCP/IP Socket Password
Firm Statistics
ORS Correspondent Conversion

AUTHORIZED FIRMS			ADD	
Delete	Entry Firm	Outbound Firm	Entry Firm	Outbound Firm
<input type="checkbox"/>	112			
<input type="checkbox"/>	501			
<input type="checkbox"/>	MEB1			

Search/Save Changes

To display Firms that are currently authorized to perform CTM functions:

- Select the **Firm Number** from the dropdown list box.
- Click **Search/Save Changes**. The authorized Firms will display.

To authorize a new Firm to enter, correct or allocate trades:

- Enter the Firm's entry clearing number in the **Entry Firm** text box.
- Enter the Firm's outbound clearing number in the **Outbound Firm** text box to receive outbound trade data and reports.
- Click **Search/Save Changes**. The new authorized Firm will display in the Authorized Firms column.

Firm Authorization March 21, 2011

Firm Number: 551

AUTHORIZED FIRMS			ADD	
Delete	Entry Firm	Outbound Firm	Entry Firm	Outbound Firm
<input type="checkbox"/>	112		386	386
<input type="checkbox"/>	501			
<input type="checkbox"/>	MEB1			

Search/Save Changes

If you wish to remove a Firm's authorization:

- Select the **Delete** check box for the desired Firm from the Authorized Firms column.
- Click **Search/Save Changes**.

Firm Authorization March 21, 2011


Firm Number: 551

AUTHORIZED FIRMS			ADD	
Delete	Entry Firm	Outbound Firm	Entry Firm	Outbound Firm
<input checked="" type="checkbox"/>	112			
<input type="checkbox"/>	501			
<input type="checkbox"/>	MEB1			

Search/Save Changes

The system will prompt you to verify you wish to delete the Firm's authorization.

**Message from webpage** X

 You are trying to delete 112,; from Authorized Firms. Are you sure?

Click **OK** to proceed with the deletion.

If you decide not to remove the Firm's authorization, click **Cancel**.

## Firm TCP/IP Socket Password

This CTM application allows you to set TCP/IP (RTC) socket passwords.

Click **Firm Maintenance** and then select **Firm TCP/IP Socket Password**. The following window will display.

Firm Maintenance
Firm Authorization
Firm TCP/IP Socket Password
Firm Statistics
ORS Correspondent Conversion

Firm TCP/IP Socket Password March 21, 2011

Firm Number: 551

CURRENT SERVICES				ADD		
Delete	Destination Id	Service Type	Password	Destination Id	Service Type	Password
<input type="checkbox"/>	CTDL	RTCINPUT	PASSPASS	<span></span>	RTC Input	
<input type="checkbox"/>	CTDL	RTCOUPT	HONEYMON			
<input type="checkbox"/>	CTRD	RTCINPUT	CDECIA7D			
<input type="checkbox"/>	CTRD	RTCOUPT	CDECIA7D			
<input type="checkbox"/>	CUTL	RTCINPUT	E1C2I3GS			
<input type="checkbox"/>	CUTL	RTCOUPT	E1C2I3GS			
<input type="checkbox"/>	GRP1	RTCINPUT	GROUP1CB			
<input type="checkbox"/>	GRP1	RTCOUPT	GROUP1CB			
<input type="checkbox"/>	OCTG	RTCOUPT	OCTGC101			
<input type="checkbox"/>	PXML	RTCINPUT	PXMLCLNG			
<input type="checkbox"/>	PXML	RTCOUPT	PXMLCLNG			
<input type="checkbox"/>	SUSQ	RTCINPUT	GR2FFIN3			
<input type="checkbox"/>	SUSQ	RTCOUPT	GR2FFIN3			

To display the current services:

- Select the **Firm Number** from the dropdown list.
- Click **Search/Save Changes**. The services for the selected Firm will display in the **Current Services** column.

Firm TCP/IP Socket Password March 21, 2011

Firm Number: 551

CURRENT SERVICES				ADD		
Delete	Destination Id	Service Type	Password	Destination Id	Service Type	Password
<input type="checkbox"/>	CTDL	RTCINPUT	PASSPASS	<span></span>	RTC Input	
<input type="checkbox"/>	CTDL	RTCOUPT	HONEYMON			
<input type="checkbox"/>	CTRD	RTCINPUT	CDECIA7D			
<input type="checkbox"/>	CTRD	RTCOUPT	CDECIA7D			
<input type="checkbox"/>	CUTL	RTCINPUT	E1C2I3GS			
<input type="checkbox"/>	CUTL	RTCOUPT	E1C2I3GS			
<input type="checkbox"/>	GRP1	RTCINPUT	GROUP1CB			
<input type="checkbox"/>	GRP1	RTCOUPT	GROUP1CB			
<input type="checkbox"/>	OCTG	RTCOUPT	OCTGC101			
<input type="checkbox"/>	PXML	RTCINPUT	PXMLCLNG			
<input type="checkbox"/>	PXML	RTCOUPT	PXMLCLNG			
<input type="checkbox"/>	SUSQ	RTCINPUT	GR2FFIN3			
<input type="checkbox"/>	SUSQ	RTCOUPT	GR2FFIN3			

To add a new service:

- From the **Add** column, select the **Destination ID** and **Service Type** from the corresponding dropdown lists.
- Enter the password in the **Password** text box. To change the password, you must delete it and then re-add the new password.
  - ⚡ **Note:** The password must be eight characters.
- Click **Search/Save Changes**. The new service will display in the **Current Services** column.

Firm TCP/IP Socket Password March 21, 2011

Firm Number: 551

CURRENT SERVICES				ADD		
Delete	Destination Id	Service Type	Password	Destination Id	Service Type	Password
<input type="checkbox"/>	CTDL	RTCINPUT	PASSPASS	GRP1	RTC Input	PASSWORD
<input type="checkbox"/>	CTDL	RTCOUTPT	HONEYMON			
<input type="checkbox"/>	CTRD	RTCINPUT	CDECIA7D			
<input type="checkbox"/>	CTRD	RTCOUTPT	CDECIA7D			
<input type="checkbox"/>	CUTL	RTCINPUT	E1C2I3GS			
<input type="checkbox"/>	CUTL	RTCOUTPT	E1C2I3GS			
<input type="checkbox"/>	GRP1	RTCINPUT	GROUP1CB			
<input type="checkbox"/>	GRP1	RTCOUTPT	GROUP1CB			
<input type="checkbox"/>	OCTG	RTCOUTPT	OCTGC101			
<input type="checkbox"/>	PXML	RTCINPUT	PXMLCLNG			
<input type="checkbox"/>	PXML	RTCOUTPT	PXMLCLNG			
<input type="checkbox"/>	SUSQ	RTCINPUT	GR2FF1N3			
<input type="checkbox"/>	SUSQ	RTCOUTPT	GR2FF1N3			

Search/Save Changes

To delete a current service:

- From the **Current Services** column, select the **Delete** check box for the service you wish to remove.
- Click **Search/Save Changes**.

Firm TCP/IP Socket Password March 21, 2011


Firm Number: 551

CURRENT SERVICES				ADD		
Delete	Destination Id	Service Type	Password	Destination Id	Service Type	Password
<input type="checkbox"/>	CTDL	RTCINPUT	PASSPASS		RTC Input	
<input type="checkbox"/>	CTDL	RTCOUTPT	HONEYMON			
<input type="checkbox"/>	CTRD	RTCINPUT	CDECIA7D			
<input type="checkbox"/>	CTRD	RTCOUTPT	CDECIA7D			
<input type="checkbox"/>	CUTL	RTCINPUT	E1C2I3GS			
<input type="checkbox"/>	CUTL	RTCOUTPT	E1C2I3GS			
<input checked="" type="checkbox"/>	GRP1	RTCINPUT	GROUP1CB			
<input type="checkbox"/>	GRP1	RTCOUTPT	GROUP1CB			
<input type="checkbox"/>	OCTG	RTCOUTPT	OCTGC101			
<input type="checkbox"/>	PXML	RTCINPUT	PXMLCLNG			
<input type="checkbox"/>	PXML	RTCOUTPT	PXMLCLNG			
<input type="checkbox"/>	SUSQ	RTCINPUT	GR2FF1N3			
<input type="checkbox"/>	SUSQ	RTCOUTPT	GR2FF1N3			

Search/Save Changes

The system will prompt you to confirm your delete request.

**Message from webpage**

 You are trying to delete GRP1,RTCINPUT,GROUP1CB,1; from Authorized Firms. Are you sure?

- Click **OK** to proceed with the delete.
- Click **Cancel** to remove your request.

## Firm Statistics

This window allows you to view the number of records and contracts that have been entered into the CTM system associated with your Firm.

To display the Firm Statistics window, click **Firm Maintenance** and then select **Firm Statistics**.

Firm Maintenance
Firm Authorization
Firm TCP/IP Socket Password
Firm Statistics
ORS Correspondent Conversion

Firm Statistics March 21, 2011

Firm Number:

	Records				Contracts			
	Matched	Unmatched	Total	Error	Matched	Unmatched	Total	Error
As of Trades	0	7	7	0	0	1,400	1,400	0
Day Trades	0	3	3	1	0	750	750	300
Firm Totals	0	10	10	1	0	2,150	2,150	300

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- Select your Firm's number from the **Firm Number** dropdown list.
- Click **Search**. The number of records and contracts that were entered into the CTM system for your Firm will display.

## ORS Correspondent Conversion

The **ORS Correspondent Conversion** window displays the list of certain customers with which the Executing Firm has a current trading agreement. This window allows you to add or delete CMTA information.

Click **Firm Maintenance** and then select **ORS Correspondent Conversion**. The following window will display

CBOE  
CHICAGO BOARD OPTIONS EXCHANGE

Trade Query | Order Query | Firm Maintenance | App Support | Security | Logoff

ORS Correspondent Conversion March 21, 2011

Firm Number:

CMTA FIRMS			ADD	
Delete	CMTA Alpha	CMTA Number	CMTA Alpha	CMTA Number
<input type="checkbox"/>	BV\F	050	<input type="text"/>	<input type="text"/>
			<input type="text"/>	<input type="text"/>
			<input type="text"/>	<input type="text"/>


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To view the list of CMTA Firms that require an alpha-to-numeric conversion:

- Select your **Firm Number** from the drop down list.
- Click **Search/Save Changes**. Eligible customer acronyms and CMTA numbers will display in the **CMTA Firms** column.

To add a new CMTA customer:

- Enter the customer's acronym in the **CMTA Alpha** text box in the **Add** column.
- Enter the customer's **CMTA Number** in the corresponding text box in the **Add** column. In the example below, 002 was entered as the CMTA Number. If you enter "2" instead of "002", CTM will accept the number as valid.
- Click **Search/Save Changes**.

 **Note:** Duplicate entries are not allowed.

ORS Correspondent Conversion March 21, 2011

Firm Number: 551

CMTA FIRMS			ADD	
Delete	CMTA Alpha	CMTA Number	CMTA Alpha	CMTA Number
<input type="checkbox"/>	ABB	002	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>
<input type="checkbox"/>	BVF	050	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>

The new customer's acronym and CMTA number will display in the **CMTA Firms** column.

To remove a CMTA Firm:

- Select the **Delete** check box for the chosen Firm.
- Click **Search/Save Changes**.

ORS Correspondent Conversion March 21, 2011

Firm Number: 551

CMTA FIRMS			ADD	
Delete	CMTA Alpha	CMTA Number	CMTA Alpha	CMTA Number
<input checked="" type="checkbox"/>	ABB	002	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>
<input type="checkbox"/>	BVF	050	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>

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The system will prompt you to confirm your delete request.

**Message from webpage**
✕

?

You are trying to delete ABB,002; from Authorized Firms. Are you sure?

- Click **OK** to proceed with the delete.
- Click **Cancel** to remove your request.



## APP Support

The APP Support window allows you to audit changes made by Firm associates or Brokers to existing trades for the current business day.

### Functionality Restrictions

**ENTRY** level: N/A

**CONTROL** level: authorized to perform data security control functions only for your Firm and associated Firms. These functions include setting users and passwords.

**ALL** level: access to all functions authorized Firm access.

### Audit Query

The Audit Query window allows you to examine changes made to existing trades for your Firm for the current business day.

To display the Audit Query window, click **APP Support** and then select **Audit Query**. The following window will display.

You can generate an audit query by Firm, Operator ID, Transaction Number or Term ID (Terminal ID, interface for trade modification).

- Valid values for the Term ID include:
  - CTMi - change through online CTMi
  - BRKR - online changes by a broker
  - BTCH - changes through a batch load
  - MMHH - changes from the Market Maker handheld system
  - ctmi - changes from FIX interface
  - SB02 (etc.) - changes (particularly adds) from CBOEdirect
  - FOCO (etc.) - changes from RTC input (marked by destination ID)
- Select the number of records you would like to retrieve from the **Records to retrieve** drop down list.
- Enter the number of records to display per page in the **Records per Page** text field.
- You can also limit the trades to display by **Begin Time** and **End Time**.
- After your filters are set, click **Search**. Your query results will display.

In the example below, the system displays all the trades pertaining to Firm 551 on 3/21/2011 (current business day) between the hours of 8a.m. and 4p.m.

**Audit Query** March 21, 2011

---

Firm Number:  Operator Id:   
 Transaction Number:  Begin Time:     
 End Time:     
 Records to retrieve:  Records per Page:  Records Found: 6  
 Class Symbol:  Expiration Date:  Exercise Price:

Exec Firm	Trans #	Audit Date	Acvt Time	A C	Bch #	Ent Firm	Ent Oper	Term Id	S T	Series	Exec Brkr	B S	Qty	Prem Price	Opp Firm	Opp Brkr	O C	Org	MM Acct	MM Sub	CMTA	Ist Typ	Optional Data	Time Exec
551	1000001	03/21/2011	08:32:10	A	0	000	BWC	CTMI	U	GOOG C 01/21/12 00360.0	ABC	1	200	20.00	549	XXH	O	C				T		08:35:00
551	1000003	03/21/2011	08:32:10	A	0	000	BWC	CTMI	U	FDX C 01/21/12 00095.0	ABC	1	250	8.60	501	ZZZ	O	C				T		08:35:04
551	1000003	03/21/2011	09:23:06	C	0	551	CASTRO	CTMI	U	FDX C 01/21/12 00095.0	ABC	1	250	8.60	501	ZZZ	O	C				T		08:35:04
551	1000002	03/21/2011	08:32:10	A	0	000	BWC	CTMI	U	F C 01/21/12 00017.4	ABC	1	300	1.65	161	ZZZ	O	C				T		08:35:02
551	1000002	03/21/2011	09:23:06	C	0	551	CASTRO	CTMI	U	F C 01/21/12 00017.4	ABC	1	300	1.65	161	ZZZ	O	C				T		08:35:02
551	1000002	03/21/2011	10:23:00	C	0	000	BWC	CTMI	E	F C 01/21/12 00017.40	ABC	1	300	0.01	161	ZZZ	O	C				T		08:35:02

Export To: [CSV](#) / [Excel](#) / [XML](#)

The **Records Found** field indicates the number of trades found.

Click **Next** to view the additional trades, if available.

Click **Previous** to display previously viewed trades.

## Security

The Security window allows you to perform data security functions for your Firm and associated Firms.

### Functionality Restrictions

**ENTRY** level: N/A

**CONTROL** level: authorized to perform data security control functions only for your Firm and associated Firms. These functions include setting users and passwords.

**ALL** level: access to all functions authorized Firm access.

### User Maintenance

From the User Maintenance window, you can perform searches for existing users, add new users and update existing users.

Click **Security** and then select **User Maintenance**.

### Security User Maintenance

User Maintenance March 21, 2011

CBOE

You are: CASTRO

Userid:  Firm: 551 Status: All Role:

User Type:

Action	Userid	Firm	First Name	Last Name	Status	Role	Options/Futures	Exchange	Broker Acronym	Type
<a href="#">Edit</a>	CASTRO	551	odalya	castro	active	All	Options	CBOE	OBC	passwd
<a href="#">Edit</a>	F551E	551	FIRM 551	ENTRY	active	Entry	Options	CBOE		passwd
<a href="#">Edit</a>	NU	551	nu2	nu	active	All	Options	CBOE	num	passwd
<a href="#">Edit</a>	RAVI	551	ravi	reddy	active	All	Options	CBOE	RAV	passwd
<a href="#">Edit</a>	ZED1	551		CTM	active	All	Options	CBOE	MEB1	passwd

5 items found, displaying all items

Export To: [CSV](#) [Excel](#) [XML](#)

The User Maintenance window displays with your Firm's users information. The window above shows users for Firm 551.

### Search Features

To search by Userid:

- Enter the user's ID with the prefix CTM\_ in the **Userid** text box. For example, if you want to search for user CASTRO, you must enter CTM\_CASTRO in the Userid text field.
- The **Firm** number defaults to your Firm.
- Click **Search**. The user with the corresponding User ID will display.

User Maintenance March 21, 2011

CBOE

You are: CASTRO

Userid: CTM\_CASTRO Firm: 551 Status: All Role:

User Type:

Action	Userid	Firm	First Name	Last Name	Status	Role	Options/Futures	Exchange	Broker Acronym	Type
<a href="#">Edit</a>	CASTRO	551	odalya	castro	active	All	Options	CBOE	OBC	passwd

One item found

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To search by status:

- Select the user's **Status** from the dropdown list.
- The **Firm** number defaults to your Firm.
- Click **Search**.

User Maintenance March 21, 2011

CBOE

You are: CASTRO

Userid:  Firm: 551 Status: active Role:   
 User Type:

Action	Userid	Firm	First Name	Last Name	Status	Role	Options/Futures	Exchange	Broker Acronym	Type
<a href="#">Edit</a>	CASTRO	551	odaly	castro	active	All	Options	CBOE	OBC	passwd
<a href="#">Edit</a>	F551E	551	FIRM	ENTRY	active	Entry	Options	CBOE		passwd
<a href="#">Edit</a>	NU	551	nu2	nu	active	All	Options	CBOE	num	passwd
<a href="#">Edit</a>	RAVI	551	ravi	reddy	active	All	Options	CBOE	RAV	passwd
<a href="#">Edit</a>	ZED1	551		CTM	active	All	Options	CBOE	MEB1	passwd

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To search by role:

- Select the user's **Status** from the dropdown list.
- The **Firm** number defaults to your Firm.
- Choose the user's **Role** from the dropdown list.
- Click **Search**.

User Maintenance March 21, 2011

CBOE

You are: CASTRO

Userid:  Firm: 551 Status: active Role: Entry  
 User Type:

Action	Userid	Firm	First Name	Last Name	Status	Role	Options/Futures	Exchange	Broker Acronym	Type
<a href="#">Edit</a>	F551E	551	FIRM	ENTRY	active	Entry	Options	CBOE		passwd

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## Add New User

To add a new Firm user, click **Add User**. The **User Edit** window will display.

CBOE  
CHICAGO BOARD OPTIONS EXCHANGE

TradeQuery OrderQuery Firm Maintenance AppSupport Security Logout

User Maintenance

User Add January 27, 2010

Futures/Options: Options Exchange: CBOE  
 Userid:  Password:   
 First Name:  Last Name:   
 Firm: 551 Acronym:   
 Phone Number:  Email Address:   
 Status: active Role: All  
 User Type: PASSWORD

[Return to User Maintenance](#)

- The window defaults to Options, your Firm number, a Status of active, Exchange

equal to CBOE and Role set to All.

- Select Firm from the dropdown list.
- Enter the Userid and Password in the corresponding text fields.
- Insert the user's First Name and Last Name, Acronym, Phone Number (optional) and Email address (optional).
- Select if the user is **active** or **disabled** from the **Status** dropdown list.
- Enter the user's security **Role**.
- Click **Save Changes**.
- To view the new user addition, click **Return to User Maintenance**. The system will return to the User Maintenance window displaying the new user's information.

### Update an Existing User

To update an existing user, click the **Edit** link in front of the user's name. The User Edit window will display the user's information.

User Edit		March 21, 2011
Futures/Options: Options Userid: CASTRO First Name: odalys Firm: 551 Phone Number: Status: active User Type: PASSWORD	Exchange: CBOE Password: * Last Name: castro Acronym: OBC Email Address: Role: All	<a href="#">Return to User Maintenance</a>

- Change any of the information as you desire.
- Click **Save Changes**.
- To view the updated user information, click **Return to User Maintenance**. The system will return to the User Maintenance window displaying the updated user's information.


↳ **Note:** The Password is encrypted and cannot be displayed. If a password is forgotten someone with proper authority can change it. Unused or unneeded user IDs should be set to disabled status and a request should be made to have it deleted.

## Exit the System

You can log out and exit the system at any time during the day.

### Exit the System

To exit the CTM system, click on the **Logoff** tab and select **Logoff CTM**. You will be logged out of the application and will be returned to the **CTM Login** window.

 **Note:** The CTMI system has a timer that inactivates a user who has not recently clicked the mouse or typed on a screen. This requires the user to log back into the system. This insures that displayed data is not too old, and frees up CTMI web resources.



## **Section 2: Reference Guide**

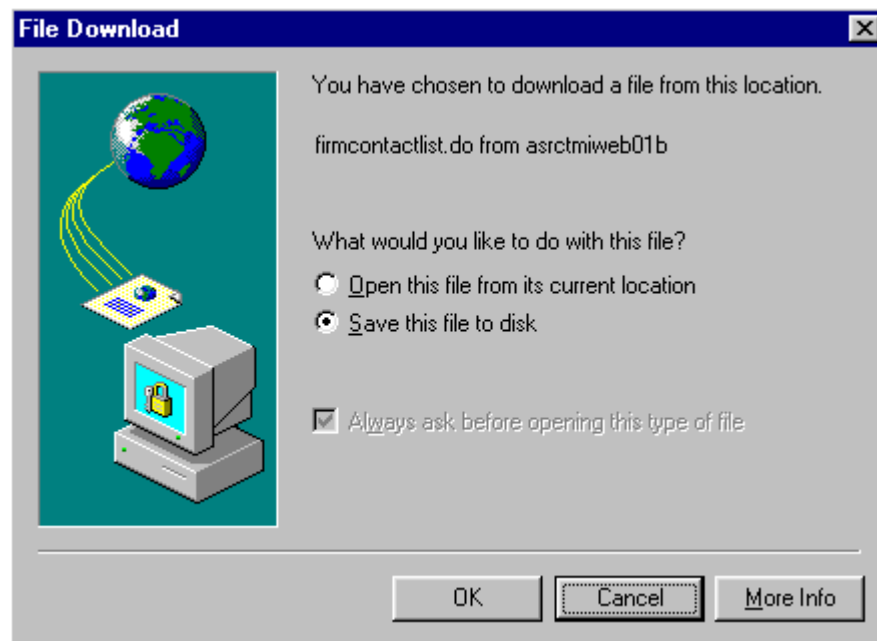
## Customize and Export CTM Windows

### Exporting CTM Data

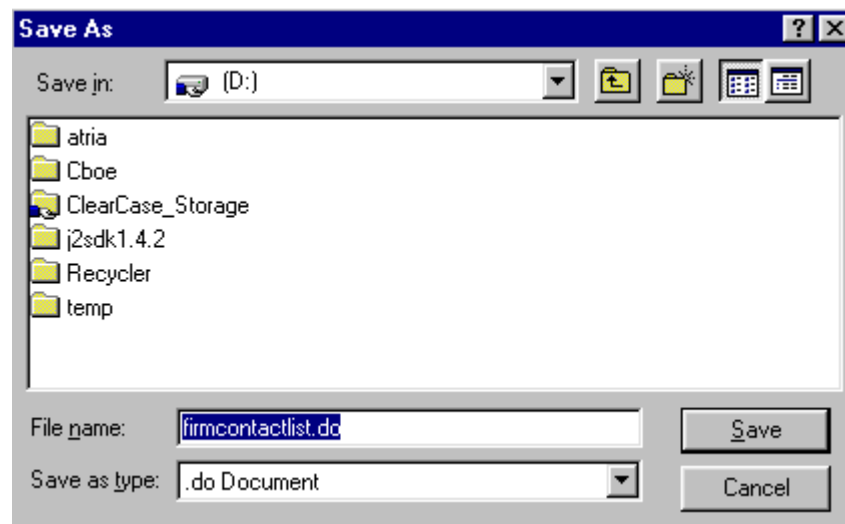
CTM windows that exhibit data in column format can be exported to different file formats.

#### Export to CSV Format

- Click **CSV** (Comma Separated Values). The File Download window will display. The window defaults to **Save this file to disk**.



- Click **OK**. The Save As window displays.

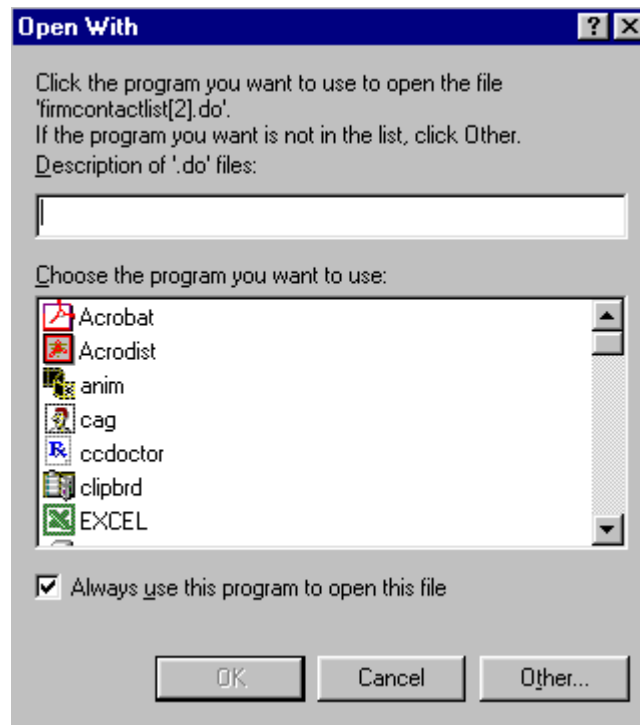




- Select the location where you want to save the file and enter the file name.
- Click **Save**. Your file will be saved in CVS format.
- To exit the window without saving, click **Cancel**.

To open the file from the current location:

- Click on the corresponding radio button. The Open With window displays.



- Select the program in which to display the data.
- Click **OK**.
- Click **Cancel** to exit the window.

### **Export to Excel**

If you wish to export the data to an Excel spreadsheet, click **Excel**. The system will open an Excel window and export the data.

Microsoft Excel - http://asrctmiweb01b:8090/ctmi/firmcontactlist.do?657870617274=

File Edit View Insert Format Tools Data Window Help Acrobat

File Edit View Insert Format Tools Data Window Help Acrobat


A1 = Firm Number

	A	B	C	D	E	F	G
1	Firm Num	Firm Desc	Firm Acro	Phone Nur	Email Address		
2	5	Goldman S	SAX	312.555.12	gsbackoffice@gsm.com		
3	9	FOC Divisi	SHD	630.456.7842			
4	15	Morgan St	D	708.305.66	MorganStanleyClearing@msdwi.com		
5	44	National In	NIS	815.598.3698			
6	60	J. P. Morg	JPM	201.258.14	jpmorgantradecheckers@jpms.com		
7	67	Instinet Cl	INC	408.258.4563			
8	74	Lehman Br	LB	201.159.35	Lehman_Brothers_Clearing@lbi.com		
9	100	N. K. & Co	NKC	312.753.15	nkinc_bkoffice@nkinc.com		
10	112	Pax Cleari	ABF	312.654.12	paxclearingtradechecking@pax.com		
11	161	Merrill Lyn	M	312.789.3214			
12	180	Nomura Se	NOM	708.126.3654			
13	267	ING Secur	QC	815.951.3576			
14	286	SG Americ	COW	408.136.6842			
15	327	Herzog, He	ZOG	219.397.1268			
16	454	E.D. & F.	IMR	630.764.2796			
17	651	Credit Lyonnais Securities (USA)			tradechecking@clsinc.com		
18	725	Raymond	RAJ	312.428.1262			
19	844	Van Der MQTS		312.371.1482			

## XML Conversion

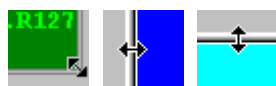
To convert the data to XML, click **XML**. A new browser window will open and the data will display in XML format.

```
<?xml version="1.0" ?>
- <table>
  - <row>
    <column>005</column>
    <column>Goldman Sachs & Company Inc.</column>
    <column>SAX</column>
    <column>312.555.1212</column>
    <column>gsbackoffice@gsm.com</column>
  </row>
  - <row>
    <column>009</column>
    <column>FOC Division Of Spear Leeds and Kellog</column>
    <column>SHD</column>
    <column>630.456.7842</column>
    <column />
```

Click the right button (X)  in the upper right corner of the window to close the window and return to CTM system.

## Sizing CTM Windows

The CTM windows are only as sizable as the browser allows.





Place the mouse on any edge of the window until it becomes a two-sided arrow. Hold the left mouse button down and move it to the desired size.

Resizing a window on the corner will expand or contract it in both directions (i.e. up and down and side-to-side). Resizing it on the side or top/bottom will expand or contract the window only in that one direction.

Windows can also be resized using the center glyph in the upper right corner of the window.



Click the left button ( \_ ) to minimize the window. Click the right button ( X ) to close the window. The center button is used for sizing.

If  is displayed, clicking it will increase the window size to a full-screen display.  
If  is displayed, clicking it will return the window to its default size.