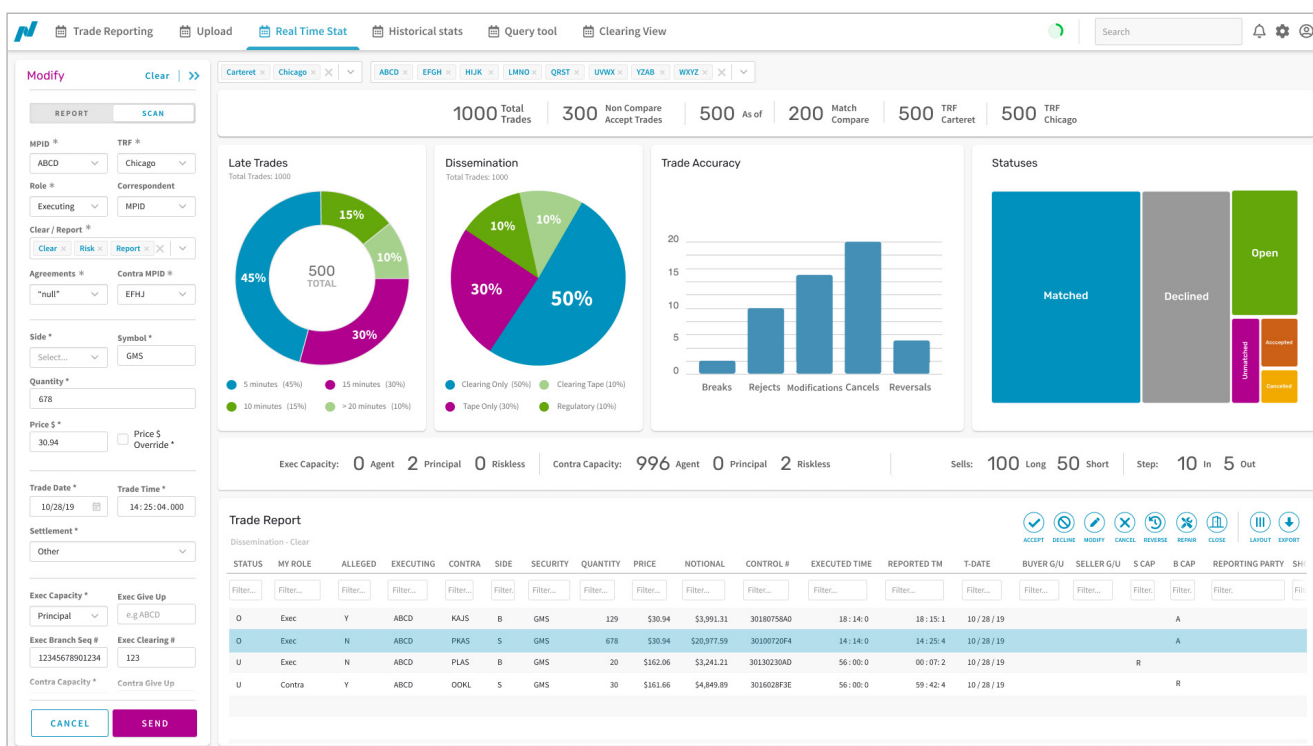Nasdaq

WorkX

Seamlessly enhance trading, reporting and risk assessment with WorkX

Nasdaq introduces the next generation of Workstation, WorkX, which provides upgraded trade reporting and monitoring tools on modern user interface and technology stack. With easy-to-use tools, WorkX delivers efficiency to users with enriched features and functionality.

Comprehensive Coverage:

- Consolidated coverage for your firm and across both FINRA/NasdaqTRFs (Carteret/Chicago)
- View multiple pieces of functionality on one screen
- Holistic scan enabling users to search across date ranges and multiple MPIDs

Ease of Use:

- Quick and easy modification and actioning of trade reports
- Streamlined upload tool to allow users to leverage templates, visualize progress/status, and fix errors

Enriched Functionality:

- Managerial reporting to identify operational efficiency/inefficiency
- Enhanced limit monitoring, including configurable action thresholds and netting
- Data visualization for quick compliance monitoring and operational effectiveness

Improved performance:

- Upgraded row limits for scanning and uploading
- Increased data query performance

Nasdaq

Trade Reporting View

Trade Reporting | Upload | Real Time Stat | Historical stats | Query tool | Clearing View

Search

Trade — Clear | »

REPORT | SCAN

Date range
10/01/2019 - 10/28/2019

Control #
e.g. 12345678

Trade Status — Port / User
Unmatched — e.g. John Smith

MPID
ABCD ×

TRF
Carteret

Clear / Report
Select...

Role — Correspondent
Select... — Select...

Agreements — Contra MPID
Select... — Select...

Side — Symbol
Select... — e.g. ABC

Quantity
e.g 10,000,000

Price $ — Price $ Override *
e.g 1234.123456

SCAN

Scan Results
My Actionable Trades

ACCEPT DECLINE MODIFY CANCEL REVERSE REPAIR CLOSE LAYOUT EXPORT

STATUS	MY ROLE	ALLEGED	EXECUTING	CONTRA	SIDE	SECURITY	QUANTITY	PRICE	NOTIONAL	CONTROL #	EXECUTED TIME	REPORTED TM	T-DATE	BUYER G/U
U	Exec	Y	ABCD	FGHI	B	GMS	129	$30.94	$3,991.31	30180758A0	18 : 14 : 0	18 : 15 : 1	10 / 28 / 19	JKLM
U	Contra	N	ABCD	FGHI	S	GMS	678	$30.94	$20,977.59	30100720F4	14 : 14 : 0	14 : 25 : 4	10 / 28 / 19	JKLM
U	Exec	N	ABCD	FGHI	B	ESLT	20	$162.06	$3,241.21	30130230AD	56 : 00 : 0	00 : 07 : 2	10 / 28 / 19	
U	Contra	Y	ABCD	FGHI	S	ESLT	30	$161.66	$4,849.89	3016028F3E	56 : 00 : 0	59 : 42 : 4	10 / 28 / 19	

STATS | COMPLIANCE | TRADER

Select... | Select...

Late Trades
Total Trades: 1000

15%
10%
45% 500 TOTAL
30%

● 5 minutes (45%) ● 15 minutes (30%)
● 10 minutes (15%) ● > 20 minutes (10%)

Dissemination

10% 10%
10%
30% 50%

● Clearing Only (50%) ● Clearing Tape (10%)
● Tape Only (30%) ● Regulatory (10%)

Upload Tool

Trade Reporting | Upload | Real Time Stat | Historical stats | Query tool | Clearing View

Search

Repair »

MPID — TRF
ABCD — Chicago

Role * — Correspondent *
Executing — Select...

Clear / Report *
Clear × Risk × Report × ×

Agreements * — Contra MPID *
"null" — EFGH

Side * — Symbol *
Sell — CSCO

Quantity *
Enter quantity

Price $ * — Price $ Override *
$38.96

Trade Date * — Trade Time *
12/15/19 — 13 : 35 : 45 .010

Settlement *
Other

Exec Capacity * — Exec Give Up
Principal — e.g. ABCD

Exec Branch Seq # — Exec Clearing #
12345678901234 — e.g.123

Contra Capacity * — Contra Give Up
Agency item — e.g. ABCD

SEND

Upload List

UPLOAD A FILE | DOWNLOAD TEMPLATE

FILE NAME	DATE	STARTED	ERRORS	TOTAL	PROGRESS
ivans_file_trades.xls	22/12/2022	9:50:46	4	200	
us_stock_nassque.csv	22/12/2022	9:50:46		450	
nyc_exchange_file.xls	22/12/2022	9:50:46	200	340	
nyc_exchange_file.xls	22/12/2022	9:50:46	3	450	
nyc_exchange_file.xls	22/12/2022	9:50:46		200	

● ERRORS | 447 SUCCESS

LAYOUT EXPORT

ERROR MSG	SIDE	SYMBOL	QUANTITY	PRICE	EXEC MPID	CONTRA MPID	CONTROL #	TRADE DATE	TRADE TIME
Invalid Price	B	LEN	100	$59.30	ABCD	EFGH	27770905D0	12/15/19	13 : 35:45 .010
Missing Quantity	S	CSCO		$38.96	ABCD	EFGH		12/15/19	13 : 35:45 .010
Invalid I1I2 Value	B	CROX	2,000	$10.01	ABCD	WXYZ			

Trade Reporting ⌄

MPID 1 | TRF 1

Late Trades
Total Trades: 500

15%
10%
45% 500 TOTAL
30%

● 5 minutes (45%) ● 15 minutes (30%)
● 10 minutes (15%) ● > 20 minutes (10%)

Dissemination
Total Trades: 500

10% 10%
10%
30% 50%

● Clearing Only (50%) ● Clearing Tape (10%)
● Tape Only (30%) ● Regulatory (10%)