

## OATS Recording of Order Information

Order Origination and Receipt	
<p>Unless otherwise indicated, the following order information must be recorded under this Rule when an order is received or originated. <i>FINRA Rule 7440(b)</i></p>	<ul style="list-style-type: none"> <li>• an order identifier meeting such parameters as may be prescribed by FINRA assigned to the order by the Reporting Member that uniquely identifies the order for the date it was received;</li> <li>• the identification symbol assigned by FINRA to the security to which the order applies;</li> <li>• the market participant symbol assigned by FINRA to the Reporting Member;</li> <li>• the identification of any department or the identification number of any terminal where an order is received directly from a customer;</li> <li>• where the order is originated by a Reporting Member, the identification of the department of the member that originates the order;</li> <li>• where the Reporting Member is a party to an agreement described in <a href="#">Rule 7450(c)</a>, the identification of the Reporting Agent;</li> <li>• the number of shares to which the order applies;</li> <li>• the designation of the order as a buy or sell order;</li> <li>• the designation of the order as a short sale order;</li> <li>• the designation of the order as a market order, limit order, stop order or stop limit order;</li> <li>• any limit or stop price prescribed in the order;</li> <li>• the date on which the order expires, and, if the time in force is less than one day, the time when the order expires;</li> <li>• the time limit during which the order is in force;</li> <li>• any request by a customer that an order not be displayed, or that a block size order be displayed, pursuant to Rule 604(b) of SEC Regulation NMS;</li> <li>• special handling requests, specified by FINRA for purposes of this Rule;</li> <li>• the date and time the order is originated or received by a Reporting Member;</li> <li>• an identification of the order as related to a Program Trade or an Index Arbitrage</li> </ul>

	Trade; and the type of account, i.e., retail, wholesale, employee, proprietary, or any other type of account designated by FINRA, for which the order is submitted
<b>Order Transmittal</b>	
Order information required to be recorded under this Rule when an order is transmitted includes the following. When a Reporting Member transmits an order to a department within the member, the Reporting Member shall record: <i>FINRA Rule 7440(c)(1)</i>	<ul style="list-style-type: none"> <li>• the order identifier assigned to the order by the Reporting Member,</li> <li>• the market participant symbol assigned by FINRA to the Reporting Member,</li> <li>• the date the order was first originated or received by the Reporting Member,</li> <li>• an identification of the department and nature of the department to which the order was transmitted,</li> <li>• the date and time the order was received by that department,</li> <li>• the number of shares to which the transmission applies, and</li> <li>• any special handling requests.</li> </ul>
When a member electronically transmits an order to another member, other than an order transmitted electronically for execution on an Electronic Communications Network: <i>FINRA Rule 7440(c)(2)</i>	<ul style="list-style-type: none"> <li>• the transmitting Reporting Member shall record: <ul style="list-style-type: none"> <li>○ the order identifier assigned to the order by the Reporting Member and the routed order identifier, if different, which the transmitting Reporting Member also must provide to the receiving Reporting Member,</li> <li>○ the market participant symbol assigned by FINRA to the Reporting Member,</li> <li>○ the market participant symbol assigned by FINRA to the member to which the order is transmitted,</li> <li>○ the date the order was first originated or received by the Reporting Member,</li> <li>○ the date and time the order is transmitted,</li> <li>○ the number of shares to which the transmission applies, and</li> <li>○ whether the order is an intermarket sweep order; and</li> </ul> </li> <li>• the receiving Reporting Member shall record, in addition to all other information items in <a href="#">Rule 7440(b)</a> that apply with respect to such order: <ul style="list-style-type: none"> <li>○ the routed order identifier assigned to the order by the member that transmits the order and</li> <li>○ the market participant symbol assigned by FINRA to the member that transmits the order</li> </ul> </li> </ul>
When a member electronically transmits an order for execution on an Electronic Communications Network:	<ul style="list-style-type: none"> <li>• the transmitting Reporting Member shall record: <ul style="list-style-type: none"> <li>○ the fact that the order was transmitted to an Electronic Communications Network,</li> </ul> </li> </ul>

<p><i>FINRA Rule 7440(c)(3)</i></p>	<ul style="list-style-type: none"> <li>○ the order identifier assigned to the order by the Reporting Member and the routed order identifier, if different, which the transmitting Reporting Member also must provide to the receiving Reporting Member,</li> <li>○ the market participant symbol assigned by FINRA to the Reporting Member,</li> <li>○ the market participant symbol assigned by FINRA to the member to which the order is transmitted,</li> <li>○ the date the order was first originated or received by the Reporting Member,</li> <li>○ the date and time the order is transmitted,</li> <li>○ the number of shares to which the transmission applies, and</li> <li>○ whether the order is an intermarket sweep order; and</li> <li>● the receiving Reporting Member operating the Electronic Communications Network shall record: <ul style="list-style-type: none"> <li>○ the fact that the order was received by an Electronic Communications Network,</li> <li>○ the routed order identifier assigned to the order by the member that transmits the order,</li> <li>○ the market participant symbol assigned by FINRA to the transmitting Reporting Member, and</li> <li>○ other information items in <a href="#">Rule 7440(b)</a> that apply with respect to such order, which must include information items (1), (2), (3), (6), (7), (8), (10), (11), (12), (13), (15), and (16).</li> </ul> </li> </ul>
<p>When a member manually transmits an order to another member, other than to an Electronic Communications Network: <i>FINRA Rule 7440(c)(4)</i></p>	<ul style="list-style-type: none"> <li>● the transmitting Reporting Member shall record: <ul style="list-style-type: none"> <li>○ the fact that the order was transmitted manually,</li> <li>○ the order identifier assigned to the order by the Reporting Member,</li> <li>○ the market participant symbol assigned by FINRA to the Reporting Member,</li> <li>○ the market participant symbol assigned by FINRA to the member to which the order is transmitted,</li> <li>○ the date the order was first originated or received by the Reporting Member,</li> <li>○ the date and time the order is transmitted,</li> <li>○ the number of shares to which the transmission applies,</li> <li>○ for each order to be included in a bunched order, the bunched order route indicator assigned to the bunched order by the Reporting Member, and</li> <li>○ whether the order is an intermarket sweep order; and</li> </ul> </li> <li>● the receiving Reporting Member shall record, in addition to all other information items in</li> </ul>

	<p><a href="#">Rule 7440(b)</a> that apply with respect to such order:</p> <ul style="list-style-type: none"> <li>○ the fact that the order was received manually and</li> <li>○ the market participant symbol assigned by FINRA to the member that transmits the order.</li> </ul>
<p>When a member manually transmits an order to an Electronic Communications Network: <i>FINRA Rule 7440(c)(5)</i></p>	<ul style="list-style-type: none"> <li>• the transmitting Reporting Member shall record: <ul style="list-style-type: none"> <li>○ the fact that the order was transmitted manually,</li> <li>○ the order identifier assigned to the order by the Reporting Member,</li> <li>○ the market participant symbol assigned by FINRA to the Reporting Member,</li> <li>○ the market participant symbol assigned by FINRA to the member to which the order is transmitted,</li> <li>○ the date the order was first originated or received by the Reporting Member,</li> <li>○ the date and time the order is transmitted,</li> <li>○ the number of shares to which the transmission applies,</li> <li>○ for each order to be included in a bunched order, the bunched order route indicator assigned to the bunched order by the Reporting Member, and</li> <li>○ whether the order is an intermarket sweep order; and</li> </ul> </li> <li>• the receiving Reporting Member shall record: <ul style="list-style-type: none"> <li>○ the fact that the order was received manually,</li> <li>○ the market participant symbol assigned by FINRA to the transmitting Reporting Member, and</li> <li>○ other information items in <a href="#">Rule 7440(b)</a> that apply with respect to such order, which must include information items (1), (2), (3), (6), (7), (8), (10), (11), (12), (13), (15), and (16).</li> </ul> </li> </ul>
<p>When a member transmits an order to a non-member, including but not limited to a national securities exchange, the Reporting Member shall record: <i>FINRA Rule 7440(c)(6)</i></p>	<ul style="list-style-type: none"> <li>• the fact that the order was transmitted to a non-member,</li> <li>• the order identifier assigned to the order by the Reporting Member,</li> <li>• the market participant symbol assigned by FINRA to the Reporting Member,</li> <li>• the date the order was first originated or received by the Reporting Member,</li> <li>• the date and time the order is transmitted,</li> <li>• the number of shares to which the transmission applies,</li> <li>• for each manual order to be included in a bunched order, the bunched order route indicator assigned to the bunched order by the Reporting Member,</li> <li>• the routed order identifier or other unique identifier required by the non-member receiving</li> </ul>

	<p>the order, as applicable,</p> <ul style="list-style-type: none"> <li>• identification of the non-member where the trade was transmitted, and</li> <li>• whether the order is an intermarket sweep order</li> </ul>
<b>Order Modifications, Cancellations, and Executions</b>	
<p>When a Reporting Member modifies or receives a modification to the terms of the order, the Reporting Member shall record, in addition to all other applicable information items (including a new order identifier) that would apply as if the modified order were originated or received at the time of the modification: <i>FINRA Rule 7440(d)(1)</i></p>	<ul style="list-style-type: none"> <li>• the order identifier assigned to the order by the Reporting Member prior to the modification,</li> <li>• the date and time the modification was originated or received, and</li> <li>• the date the order was first originated or received by the Reporting Member</li> </ul>
<p>When the Reporting Member cancels or receives a cancellation of an order, in whole or part, the Reporting Member shall record: <i>FINRA Rule 7440(d)(2)</i></p>	<ul style="list-style-type: none"> <li>• the order identifier assigned to the order by the Reporting Member,</li> <li>• the market participant symbol assigned by FINRA to the Reporting member,</li> <li>• the date the order was first originated or received by the Reporting Member,</li> <li>• the date and time the cancellation was originated or received,</li> <li>• if the open balance of an order is canceled after a partial execution, the number of shares canceled, and</li> <li>• whether the order was canceled on the instruction of a customer or the Reporting Member</li> </ul>
<p>When a Reporting Member executes an order, in whole or in part, the Reporting Member shall record: <i>FINRA Rule 7440(d)(3)</i></p>	<ul style="list-style-type: none"> <li>• the order identifier assigned to the order by the Reporting Member,</li> <li>• the market participant symbol assigned by FINRA to the Reporting Member,</li> <li>• the date the order was first originated or received by the Reporting Member,</li> <li>• the Reporting Member's number assigned for purposes of identifying transaction data in the Nasdaq Market Center, ADF, Trade Reporting Facility or other system or service as may be designated by FINRA,</li> <li>• the designation of the order as fully or partially executed,</li> <li>• the number of shares to which a partial execution applies and the number of unexecuted shares remaining,</li> <li>• the identification number of the terminal where the order was executed,</li> <li>• the date and time of execution;</li> <li>• the execution price,</li> </ul>

	<ul style="list-style-type: none"><li>• the capacity in which the member executed the transaction (e.g., agency, principal or riskless principal), and</li><li>• the national securities exchange or facility operated by a registered securities association where the trade was reported</li></ul>
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