



Municipal Securities
Rulemaking Board
Educational Conference Calls

RTRS II

Monitoring Transaction

Reporting Compliance

October 2009

MSRB



MSRB Rule G-14

- “All dealers have an ongoing obligation to report [transactions] promptly, accurately and completely.”
- “Trade status information from RTRS indicating a problem or potential problem with reported trade data must be reviewed and addressed promptly to ensure that the information being disseminated by RTRS is as accurate and timely as possible.”

How can you review your trade status information?



Tools for Monitoring Compliance

- Regulatory Status / Error Feedback
- RTRS Web Search Capabilities
- RTRS Data Quality Reports
- Discrepancy Error Code Report
- Destination Code Report
- Dealer Feedback System



Regulatory Status – Required Response

**All transactions are assigned one of the following
Regulatory Statuses**



Satisfactory

- No regulatory errors found



Unsatisfactory

- Regulatory error found – dealer action required



Questionable

- Possible regulatory error found – review trade and modify if necessary
- Exception: Late trades can not be “corrected”



Error Feedback

- Each firm must designate an error feedback method on Form RTRS:
 - Message error feedback (MT509 messages)
 - RTRS Web
 - Email error feedback
- Dealers will receive message or email feedback on the following:
 - **Customer/IDRO** – satisfactory, questionable, or unsatisfactory transactions
 - **Interdealer** – questionable or unsatisfactory transactions (*note: no feedback for satisfactory interdealer transactions*)



RTRS Web

Methods for Monitoring Trade Reporting:

- RTRS Web Search Tools
 - Trade Management
 - Error Code Review and Response
 - Unapplied Messages
- RTRS Data Quality Reports
- Other Reports

**Join the RTRS I session for further information
on RTRS Web navigation**



RTRS Web Search Tools

Trade Management

Allows user to:

- View trading activity filtered by selected high-level criteria
- View Regulatory Status for trades
- Export trades to CSV file for use in Microsoft Excel

Home New Trades **View Trades** Reports

Quick Search: Xref search

WELCOME TO MSRB RTRS
 If you have any questions, please contact us at
RTRSWebSpt@msrb.org, or call
 (703) 797-6600 during business hours or
 (703) 797-6668 after business hours.

- QUICK LINKS**
- [Enter New Customer trade](#)
 - [Enter New IDRO trade](#)
 - [Trade Management](#)
 - [Error Code Review and Response](#)
 - [View unapplied messages](#)
 - [Search for a trade](#)
 - [Reports](#)

- Trade Management
- Error Code Review and Response
- View Unapplied Messages

RECENT TRADING ACTIVITY

Show recent activity by: EBS: OR Submitter ID & EBS: Last updated 01/23/2006 at 10:29:27 AM.

	<u>All trades</u>		<u>Customer trades</u>		<u>Inter-dealer trades</u>		<u>IDRO trades</u>	
	Today	Prior Week	Today	Prior Week	Today	Prior Week	Today	Prior Week
Submitted	🔍	🔍	🔍	🔍	🔍	🔍	🔍	🔍
- Unsatisfactory	🔍	🔍	🔍	🔍	🔍	🔍	🔍	🔍
- Questionable	🔍	🔍	🔍	🔍	🔍	🔍	🔍	🔍
- Satisfactory	🔍	🔍	🔍	🔍	🔍	🔍	🔍	🔍
- Canceled or Reversed	🔍	🔍	🔍	🔍	🔍	🔍	🔍	🔍
Matched	-	-	-	-	🔍	🔍	-	-
Unmatched	-	-	-	-	🔍	🔍	-	-

TRADE MANAGEMENT

Last updated 06/10/2005 at 10:36:31 AM. [Refresh activity](#)

Viewing 1- 50 of 295 trades matching your search criteria. | [Export Trade Data](#)

Show me in submitted within for and

	CUSIP	B/S	Trade Type	EBS	Par Value	Price	Yield	XREF	Trade Date	Settlement Date	Submission Date
	733488XY1	S	Customer	MSRB	2,175,000	105.917	4.25	H200352563481295	05/27/2005	06/21/2005	06/06/2005
	287497EA5	S	Customer	MSRB	100,000	106.316	3.6	0500353109481305	06/02/2005	06/07/2005	06/07/2005
	542690ML3	B	Customer	MSRB	500,000	100	-	2051353716481315	06/02/2005	06/09/2005	06/08/2005
	544495FM1	S	Customer	MSRB	50,000	111.291	3.4	0058352500481295	06/02/2005	06/07/2005	06/06/2005
	006115EA3	B	Customer	MSRB	25,000	110.827	3.489	B008352133471265	06/03/2005	06/06/2005	06/03/2005
	044825AQ0	B	Customer	MSRB	10,000	100	4.1	7561352091481265	06/03/2005	06/08/2005	06/03/2005
	052015GG3	S	Customer	MSRB	525,000	101.938	2.95	0068352017331265	06/03/2005	06/16/2005	06/03/2005
	074509ZQ6	S	Customer	MSRB	400,000	108.91	3.3	H200352205401265	06/03/2005	06/08/2005	06/06/2005
	097464RW3	S	Customer	MSRB	5,000	102.2	4.225	H200352040481265	06/03/2005	06/08/2005	06/03/2005
	10742TFP8	S	Customer	MSRB	25,000	99.757	3.53	0059352088481265	06/03/2005	06/16/2005	06/03/2005

Filter Bar



RTRS Web Search Tools

Error Code Review and Response

Allows user to:

- View trading activity filtered by error code or error code category
- View Regulatory Status for trades
- Export trades *including error codes received* to CSV file for use in Microsoft Excel

Home New Trades **View Trades** Reports

Quick Search: Xref search

- Trade Management
- Error Code Review and Response
- View Unapplied Messages

WELCOME TO MSRB RTRS
 If you have any questions, please contact us at
RTRSWebSpt@msrb.org, or call
 (703) 797-6600 during business hours or
 (703) 797-6668 after business hours.

- QUICK LINKS**
- [Enter New Customer trade](#)
 - [Enter New IDRO trade](#)
 - [Trade Management](#)
 - [Error Code Review and Response](#)
 - [View Unapplied Messages](#)
 - [Search for a trade](#)
 - [Reports](#)

Show recent activity by: EBS: OR Submitter ID & EBS: Last updated 01/23/2006 at 10:29:27 AM.

	<u>All trades</u>		<u>Customer trades</u>		<u>Inter-dealer trades</u>		<u>IDRO trades</u>	
	Today	Prior Week	Today	Prior Week	Today	Prior Week	Today	Prior Week
Submitted	🔍	🔍	🔍	🔍	🔍	🔍	🔍	🔍
- Unsatisfactory	🔍	🔍	🔍	🔍	🔍	🔍	🔍	🔍
- Questionable	🔍	🔍	🔍	🔍	🔍	🔍	🔍	🔍
- Satisfactory	🔍	🔍	🔍	🔍	🔍	🔍	🔍	🔍
- Canceled or Reversed	🔍	🔍	🔍	🔍	🔍	🔍	🔍	🔍
Matched	-	-	-	-	🔍	🔍	-	-
Unmatched	-	-	-	-	🔍	🔍	-	-



Address: https://200.10.20.70/rtrswb/controller.do?cmd=error_management

MSRB RTRS
 Test System--Test System--Test System

Logged in as Test User for Municipal Security

Home New Trades View Trades Reports

Quick Search: Xref

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ERROR CODE REVIEW AND RESPONSE

Last updated 06/10/2005 at 10:49:01 AM. [Refresh activity](#)

Viewing 1- 42 of 42 trades matching your search criteria. [Export Trade and Error Data](#)

Show me: all trade types

for: MSRB and any Submitter ID

with error code: N913 [look up](#)

OR error code category:

submitted within this date range: from 06/01/2005 to 06/07/2005

OR submitted within: no selected date range

filter trades

Calend... June 2005

<<	>>	S	M	T	W	T	F	S
29	30	31	1	2	3	4		
5	6	7	8	9	10	11		
12	13	14	15	16	17	18		
19	20	21	22	23	24	25		
26	27	28	29	30	1	2		
3	4	5	6	7	8	9		
Today								

	CUSIP	B/S	Trade Type	EBS	Par Value	Price	Yield	XREF	Trade Date	Settlement Date	Submission Date
?	494748Y42	S	Inter-dealer	MSRB	50,000	105.2	-	49023521066831265	02/24/2005	03/01/2005	06/03/2005
?	13066YDN6	S	Inter-dealer	MSRB	25,000	110.689	-	1302352093481265	02/25/2005	03/02/2005	06/03/2005
?	041790WL6	B	Inter-dealer	MSRB	125,000	103.005	-	206R352053421265	05/25/2005	05/30/2005	06/03/2005
?	64970HAC8	B	Inter-dealer	MSRB	600,000	100	-	HD69352007461265	05/25/2005	06/01/2005	06/03/2005
?	110169PC7	B	Inter-dealer	MSRB	500,000	100.921	-	3822352004461265	05/27/2005	06/09/2005	06/03/2005
?	424888BL8	S	Inter-dealer	MSRB	370,000	101.67	-	N705352491451295	05/27/2005	06/13/2005	06/06/2005
?	733488XY1	S	Customer	MSRB	2,175,000	105.917	4.25	H200352563481295	05/27/2005	06/21/2005	06/06/2005
?	13067JFB2	S	Inter-dealer	MSRB	125,000	100	-	0507352031801265	05/31/2005	06/06/2005	06/03/2005



RTRS Web Search Tools

Unapplied Messages

- Includes messages that were rejected by RTRS
- Examples:
 - Modify or cancel record that does not match any instruct
 - Match record for a step-out delivery (sent to RTTM only)

UNAPPLIED MESSAGES

Last updated 06/13/2005 at 09:10:51 AM. [Refresh activity](#)

Messages included in this section of RTRS Web are those that were rejected by RTRS and therefore not applied to any current trade report. Depending on the type of record, these messages may need to be resubmitted to RTRS. Please review the error codes received by each message to determine whether further action is necessary.

Viewing 1- 47 of 47 trades matching your search criteria.

Show me submitted for and

CUSIP	B/S	Trade Type	EBS	Par Value	Price	Yield	XREF	Trade Date	Settlement Date	Submission Date
032559CE4	S	Inter-dealer	MSRB	25,000	0	-	B022352986481295	06/06/2005	06/09/2005	06/06/2005
130657AV1	S	Inter-dealer	MSRB	1,850,000	0	-	2001352970481295	06/06/2005	06/09/2005	06/06/2005
358802B39	B	Inter-dealer	MSRB	30,000	0	3.707	ME49352890481295	06/06/2005	06/09/2005	06/06/2005
436308DS6	B	Inter-dealer	MSRB	25,000	0	3.496	ME32352876481295	06/06/2005	06/08/2005	06/06/2005
440673WE7	B	Inter-dealer	MSRB	25,000	0	-	2061352576481295	06/06/2005	06/09/2005	06/06/2005
440673WE7	B	Inter-dealer	MSRB	50,000	0	-	2066352598481295	06/06/2005	06/09/2005	06/06/2005
452151FH1	B	Inter-dealer	MSRB	20,000	52.015	4.65	0500352608481295	06/06/2005	06/09/2005	06/06/2005
45853JBC4	B	Inter-dealer	MSRB	50,000	0	3.771	0548353011481295	06/06/2005	06/09/2005	06/06/2005
49474EDZ3	S	Inter-dealer	MSRB	30,000	0	-	0066353003481295	06/06/2005	06/08/2005	06/06/2005
57582NDF9	S	Inter-dealer	MSRB	15,000	0	-	2095353009481295	06/06/2005	06/09/2005	06/06/2005
616021KT7	B	Inter-dealer	MSRB	50,000	99	-	2015352938481295	06/06/2005	06/16/2005	06/06/2005



RTRS Web - Reports

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Logged in as Jie Li for MSRB Test Company 4 | [Log off](#)

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REPORTS

RTRS DATA QUALITY REPORTS



[RTRS Dealer Data Quality - Summary](#)

This report describes your firm's transaction reporting data for **interdealer trades that you cleared** (for your own firm or for other firms) and for your own firm's **customer trades** with regard to status, match rate, lateness and timeliness of reporting, and number of changes to reported data. It includes a lateness breakout of the trade data.



[RTRS Dealer Data Quality - Summary of Correspondent's Trades](#)

This report describes your firm's transaction reporting data for **interdealer trades your firm effected** and for your firm's **customer trades** with regard to status, match rate, lateness and timeliness of reporting, and number of changes to reported data. It includes a lateness breakout of the trade data.



[RTRS Dealer Data Quality - Detail](#)

This report identifies specific trades that are counted in each category of the Dealer Data Quality - Summary report.

OTHER REPORTS



[Discrepancy Error Code Report](#)

This report lists trades where the information submitted by your firm differs from the information submitted by the contra-party firm, resulting in a Q19F, Q22F, or Q44F error code.



[Destination Code Report](#)

This report lists trades where both your firm and the contra-party firm submitted to RTTM Only (DEST01), in addition to trades where there was a destination code discrepancy (DEST01 vs. DEST01/02) between your firm and the contra-party firm.



[Report of Correspondents](#)

This report lists the company name and broker symbol of firms that have indicated to the MSRB that they have a clearing relationship with the requested submitter ID.



RTRS Web – Data Quality Reports

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[Report of Correspondents](#)

This report lists the company name and broker symbol of firms that have indicated to the MSRB that they have a clearing relationship with the requested submitter ID.



RTRS Web – Monthly Data Quality Reports

- **Dealer Data Quality - Summary**
 - Provides statistics on regulatory status, match rate, lateness and timeliness of reporting, and number of changes to reported data. Also provides industry average statistics.
 - Includes Lateness Breakout
- **Dealer Data Quality - Summary of Correspondent's Trades**
 - Provides statistics on regulatory status, match rate, lateness and timeliness of reporting, and number of changes to reported data for correspondent firms. Also provides industry average statistics.
 - Includes Lateness Breakout
- **Dealer Data Quality - Detail**
 - Identifies specific trades that are counted in each category of the Dealer Data Quality - Summary report.



RTRS Web – Data Quality Reports

How do I use these reports?

- Review reports every month to gauge transaction reporting performance
- **However**, be sure to monitor reporting throughout the month – you should not be “surprised” by any numbers on the reports

Dealer Data Quality Summary

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RTRS DEALER DATA QUALITY - SUMMARY

This report describes your firm's transaction reporting data with regard to status, match rate, lateness and timeliness of reporting, and number of changes to reported data. Select month and year to run single-month report (for the month and year selected) or 12-month report (for 12 months leading up to and including the month and year selected). | [Export Report Data](#) [Print Report](#)

Firm Name: **Municipal Securities Rulemaking Board** Report Date:

Report below generated on 11/13/2006 at 10:31:15 AM.

- [Summary Data](#)
- [Match Rate](#)
- [Late Trade Reports](#)
- [Trade Reporting Analysis](#)

SUMMARY DATA [back to top](#)

	Current Month Activity			Prior Month Activity		
	Total Trade Reports	Sat/Quest Count	Sat/Quest Rate	Total Trade Reports	Sat/Quest Count	Sat/Quest Rate
Inter-dealer *	0	0	0%	0	0	0%
Customer	0	0	0%	0	0	0%
Total Trade Reports	0	0	0%	0	0	0%

* not including reversals



Dealer Data Quality Detail

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 **MSRB RTRS**
Test System--Test System--Test System

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RTRS DEALER DATA QUALITY - DETAIL

This report identifies specific trades that are counted in each category of the Dealer Data Quality - Summary report.

Firm Name: **Municipal Securities Rulemaking Board** Report Date:

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RTRS Web – Other Reports



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REPORTS

RTRS DATA QUALITY REPORTS



[RTRS Dealer Data Quality - Summary \(formerly Compliance Data Report\)](#)

This report describes your firm's transaction reporting data with regard to status, match rate, lateness and timeliness of reporting, and number of changes to reported data.



[RTRS Dealer Data Quality - Lateness Breakout \(formerly Lateness Report\)](#)

This report provides additional detail on transaction reports that were received before or after the appropriate deadline.



[RTRS Dealer Data Quality - Detail](#)

This report identifies specific trades that are counted in each category of the Dealer Data Quality - Summary report.

OTHER REPORTS



[Discrepancy Error Code Report](#)

This report lists trades where the information submitted by your firm differs from the information submitted by the contra-party firm, resulting in a Q19F, Q22F, or Q44F error code.



[Destination Code Report](#)

This report lists trades where both your firm and the contra-party firm submitted to RTTM Only (DEST01), in addition to trades where there was a destination code discrepancy (DEST01 vs. DEST01/02) between your firm and the contra-party firm.



[Report of Correspondents](#)

DISCREPANCY ERROR CODE REPORT



This report lists trades where the information submitted by your firm differs from the information submitted by the contra-party firm, resulting in a Q19F, Q22F, or Q44F error code. Please confirm that your information is correct. If your information is incorrect, please submit a modify record with the correct information.

Note that results are based on trade information at time of match. If you have modified or canceled trade information post-match, updated trade information will not be reflected on this report. | [Export Report Data](#)

Select an EBS: OR a Submitter ID: AND a Match Date:

- [Q19F: Accrued Interest Different on Buyer and Seller Sides](#)
- [Q22F: Seller and Buyer Times of Trade Differ by More Than 15 Minutes](#)
- [Q44F: Contra Party You Indicated is not the Contra Party on the Matching Side](#)

Q19F: Accrued Interest Different on Buyer and Seller Sides [back to top](#)

This section lists trades where the accrued interest submitted by your firm differs from the accrued interest submitted by the contra-party.

A	B	C	D	E	F	G	H	I	J	K	L	M
Your Accrued Interest (Should match Col. B)	Contra Accrued Interest (Should match Col. A)	CUSIP	XREF	Your Submitter ID	Your Effecting Broker	Contra Submitter ID	Contra Effecting Broker	Buy/Sell	Match TID	TID	Trade Date	Par
No data found												

Q22F: Seller and Buyer Times of Trade Differ by More Than 15 Minutes [back to top](#)

This section lists trades where the time of trade submitted by your firm differs from the time of trade submitted by the contra-party by more than 15 minutes.

A	B	C	D	E	F	G	H	I	J	K	L	M
Your Time of Trade (Should Match Col. B)	Contra Time of Trade (Should Match Col. A)	CUSIP	XREF	Your Submitter ID	Your Effecting Broker	Contra Submitter ID	Contra Effecting Broker	Buy/Sell	Match TID	TID	Trade Date	Par
No data found												

Q44F: Contra Party You Indicated is not the Contra Party on the Matching Side [back to top](#)

This section lists trades where the effecting broker and contra-party effecting broker submitted by your firm differs from the effecting broker and contra-party effecting broker submitted by the contra-party.

Your Submission Information				Other Side Submission Information										
A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
Submitter ID	Effecting Broker Symbol (Should match Col. H)	Contra Submitter ID	Contra Effecting Broker (Should match Col. F)	Submitter ID	Effecting Broker Symbol (Should match Col. D)	Contra Submitter ID	Contra Effecting Broker (Should match Col. B)	CUSIP	XREF	Buy/Sell	Match TID	TID	Trade Date	Par
No data found														



Discrepancy Error Code Report – Q19F

Discrepancy Error Code Report

Clearing ID: 0123 EBS: ABCD

Match Date: 02/23/2004

Q19F - Accrued Interest Different on Buyer and Seller Sides

This report lists trades where the accrued interest submitted by your firm differs from the accrued interest submitted by the contra-side. Please confirm that your accrued interest is correct. If your accrued interest is incorrect, please submit a modify record with the correct information.

A	B	C	D	E	F	G	H	I	J	K	L	M
Your Accrued Interest (should match column B)	Contra Accrued Interest (should match column A)	CUSIP	XREF	Your Clearing ID	Your Effecting Broker	Contra Clearing ID	Contra Effecting Broker	Buy/Sell	Match TID	TID	Trade Date	Par
123.456	0	649787YP7	12987453	0123	ABCD	0456	EFGH	B	0545000369	0545000370	02/23/2004	50000
100.589	200.589	649787YP7	3456987	0123	ABCD	0789	IJKL	S	0545000367	0545000368	02/23/2004	500000



Discrepancy Error Code Report – Q22F

Discrepancy Error Code Report

Clearing ID: 0123 EBS: ABCD

Match Date: 02/23/2004

Q22F - Seller and Buyer Times of Trade Differ by More Than 15 Minutes

This report lists trades where the time of trade submitted by your firm differs from the time of trade submitted by the contra-side by more than 15 minutes. Please confirm that your time of trade is correct. If your time of trade is incorrect, please submit a modify record with the correct information.

A	B	C	D	E	F	G	H	I	J	K	L	M
Your Time of Trade (should match column B)	Contra's Time of Trade (should match column A)	CUSIP	XREF	Your Clearing ID	Your Effecting Broker	Contra Clearing ID	Contra Effecting Broker	Buy/Sell	Match TID	TID	Trade Date	Par
13:30:00	01:30:00	649787YP7	123546789	0123	ABCD	0456	EFGH	B	0545000693	0545000694	02/23/2004	12000
08:50:00	10:21:05	649787YP7	789456123	0123	ABCD	0789	IJKL	S	0545000793	0545000794	02/23/2004	50000



Discrepancy Error Code Report – Q44F

Discrepancy Error Code Report

Clearing ID: 0123 EBS: ABCD

Match Date: 02/23/2004

Q44F - Contra Party you Indicated is not the Contra Party on the Matching Side

This report lists trades where the effecting broker and contra-side effecting broker submitted by your firm differs from the effecting broker and contra-side effecting broker submitted by the contra-side. Please confirm that your effecting broker and contra-side effecting broker is correct. If your information is incorrect, please submit a modify record with the correct information.

A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
What You Submitted				What the Other Side Submitted										
Clearing ID	EBS (should match column H)	Contra Clearing ID	Contra EBS (should match column F)	Clearing ID	EBS (should match column D)	Contra Clearing ID	Contra EBS (should match column B)	CUSIP	XREF	Buy/Sell	Match TID	TID	Trade Date	Par
	0123	ABCD	0456		EFGH	0456	IJKL							
0123	ABCD	0789	MNOP	0789	MNOP	0123	0123	649787YP7	12456987	S	054000461	054000462	02/23/2004	150000



Destination Code Report

DESTINATION CODE REPORT



This report lists trades where both your firm and the contra-party firm submitted to RTTM Only (DEST01), in addition to trades where there was a destination code discrepancy (DEST01 vs. DEST01/02) between your firm and the contra-party firm.

Note that results are based on trade information at time of match. If you have modified or canceled trade information post-match, updated trade information will not be reflected on this report. | [Export Report Data](#)

Categories:

- A:** Destination Code RTTM Only (DEST01) on Matched Sides - You indicated RTTM only, Contra Indicated RTTM only
- B:** Destination Code Different (DEST01 vs. DEST01/02) on Matched Sides - You indicated RTTM only, Contra Indicated RTTM & RTRS
- C:** Destination Code Different (DEST01/02 vs. DEST01) on Matched Sides - You indicated RTTM & RTRS, Contra indicated RTTM only

Select an EBS OR a Submitter ID: AND a Match Date:

Category	Your Dest. Code	Contra Dest. Code	CUSIP	XREF	Your Submitter ID	Your Effecting Broker	Contra Submitter ID	Contra Effecting Broker	Buy/Sell	Match TID	TID	Trade Date	Par
----------	-----------------	-------------------	-------	------	-------------------	-----------------------	---------------------	-------------------------	----------	-----------	-----	------------	-----

No data found



Destination Code Report

Destination Code Report

Submitter ID: 0123

Match Date: 02/23/2004

Category - To view all occurrences of a particular destination code combination, sort the data by category

A - Destination Code RTTM Only (DEST01) on Matched Sides - You indicated RTTM only, Contra Indicated RTTM only

B - Destination Code Different (DEST01 vs. DEST01/02) on Matched Sides - You indicated RTTM only, Contra Indicated RTTM & RTRS

C - Destination Code Different (DEST01/02 vs. DEST01) on Matched Sides - You indicated RTTM & RTRS, Contra Indicated RTTM only

Category	Your Dest. Code	Contra Dest. Code	CUSIP	XREF	Your Clearing ID	Your Effecting Broker	Contra Clearing ID	Contra Effecting Broker	Buy/Sell	Match TID	TID	Trade Date	Par
A	01	01	733581SF-0	200502237950035	0123	ABCD	0456	EFGH	B	0545000693	0545000694	02/23/2004	160000
A	01	01	649787YP-7	200502237950037	0123	ABCD	0789	IJKL	S	0545000793	0545000794	02/23/2004	20000
B	01	01/02	688028GW-3	200502237950036	0123	ABCD	0654	MNOP	B	0545000699	0545000700	02/23/2005	150000
C	01/02	01	649787YP-7	200502237950037	0123	ABCD	0456	EFGH	B	0545000798	0545000799	02/23/2004	200000



RTRS Web – Other Reports

- Printable and exportable
- Report run in real-time by match date
- Results based on transaction information **at time of match**

Tip: If a transaction is modified or canceled post-match, the reports will not update



RTRS Web – Other Reports

How do I use these reports?

- Reports are generated by match date, on a real-time basis, by EBS or Submitter ID
- Review reports daily and react to issues as they arise – contact contra-party firm and review your firm's report
- Correct any issues so they do not occur in the future



Dealer Feedback System

Reports Available

- **Transaction Report (D1)**
 - Includes specific transactions reported during the month requested, including whether they were subject to a transaction assessment fee under Rule A-13
 - 3 months available at any time
- **Batch Performance Statistics Report (D15)**
 - Includes statistics for pre- real-time data only, currently January 2004 through January 2005
 - Real-time performance statistics now available on RTRS Web



Dealer Feedback System

Getting Access

- One authorized recipient per firm
- Executive officer or municipal principal must submit letter designating authorized recipient
- Recipient is contacted with a username and password

All properly requested reports are made available by the end of the next business day



Upcoming Enhancements

- Beginning in mid-November DTCC will start use the EBS as a matching field
- The EBS and contra-EBS will no longer be modifiable
- Be sure to update your systems with accurate and up to date dealer identifiers, a current list is available at MSRB.org



Need Assistance?

- Documentation available at www.MSRB.org
 - RTRS Specifications
 - User Manuals
 - MSRB Notices
 - MSRB Rules
- Email:
RTRSWebSpt@msrb.org
- Main MSRB Phone Number:
(703)797-6600 – 8:00am to 5:30pm
- Market Information Program Operations Department:
(703)797-6668 – 7:30am to 6:30pm



- Questions?