



## BATS EDGA and EDGX Clearly Erroneous Execution Web Form Usage Required Effective January 12, 2015

On **Monday, January 12, 2015**, BATS EDGA Exchange and EDGX Exchange will require all Clearly Erroneous Execution (CEE) filings to be submitted using the online form located within the Member Web Portal. This free tool gives members the ability to quickly provide BATS with all review criteria required per EDGA and EDGX Exchange Rule 11.15 (Clearly Erroneous Executions), ensuring all necessary information is received by the BATS Trade Desk in a timely manner.

**Members must have a BATS Member Web Portal account with Clearly Erroneous Execution Form access enabled in order to use this form. BATS will require this form be used for ALL EDGA and EDGX Clearly Erroneous review submissions as of January 12, 2015, so please contact [tradedesk@bats.com](mailto:tradedesk@bats.com) to request your firm's account(s) today!** Account requests must include contact information including full name, title, email address, and phone number.

As shown below, the form requires the phone number of the submitter and a firm MPID that can be used for billing when applicable (e.g. away market Clearly Erroneous fees passed through for routed trades). Additionally, multiple execution criteria may be specified in a single review request. Execution criteria include symbol, price range, execution time range and the reason for the review (factual basis for believing the trade is clearly erroneous).

**Account**

Joe User  
BATS Trading, Inc. (Z)  
Previous Login: 2014-12-30 08:11  
My Account  
Logout

**Member Tools**

- Account Home
- Ports
- Latency Stats
- Data Products
- Data Recipient Declarations
- Request Portal Account
- Daily Listed Securities Reports
- Daily Distribution Reports
- Daily Corporate Action Reports
- Physical Connection Request
- Logical Port Request

**BATS Exchange Tools**

- Auction Viewer
- Options Clearing Editor
- Options Risk Management
- Options Mutual Adjust/Bust
- CEE/Obvious Error Form**
  - BZX BYX EDGX EDGA Options

**EDGX: Clearly Erroneous Execution (CEE) Form**

Please use this form to file Clearly Erroneous Execution (CEE) reviews with BATS and immediately thereafter follow up with a call to the BATS Trade Desk (913.815.7001) to ensure your request for review is properly prioritized. This form includes fields containing all criteria necessary to initiate an official CEE review. Refer to BATS Exchange Rule 11.17 of the [BATS Exchange Rule Book](#) for additional guidance regarding CEE policies and procedures.

Contact Name:   
Phone Number:   
MPID:\*\*  This field is required

**Execution Criteria**

Symbol  Price Is  Execution Time Range  From: 08:38:00 To: 08:53:00

Please briefly indicate why you are requesting a review on this trade. This field is required.

\* All fields are required.  
\*\* MPID used for billing when applicable.

When you click the "Submit" button, your request will be submitted to BATS which may take a few seconds. When the information has been sent to BATS, you will receive a pop-up message indicating that we have received it and you will also receive an email confirmation. BATS will review your information and contact you.

Time of web form submission will be used as the reference time for timing of review requests as it relates

to execution time versus time a request to review a trade has been received. Upon electronic submission, members are encouraged to follow up the review request with a call to the BATS Trade Desk (913.815.7001) to confirm the request was received and the review is underway.

BATS appreciates your continued business. Please call the BATS Trade Desk or your Director of Sales with any questions regarding this change.

**BATS Trade Desk**

913.815.7001

[tradedesk@bats.com](mailto:tradedesk@bats.com)