

TSWG Q&A

10/20/2020

1. Can a firm report a Post Trade Allocation Event (MEPA) for a step-in trade? If so, which allocationType should be used on the event?
2. If a firm routes an order as received from a customer can they use the Route as Received (RAR) handling instruction in situations where no other handling instructions exists?
3. In instances where a Child Order event or an Internal Route event is reported, should the Route as Received (RAR) handling instruction on the Order Route reference the child event or the parent event that precedes it in the lifecycle?
4. Would a firm who routes an order to another Broker Dealer using an Algo report the event using an "ALG" handling instruction?
5. When must the *handlingInstructions* value 'WDP' be used?
6. FAQ U9 discusses the *eventTimestamp* for a Post-Trade Allocation event (MEPA) and the FAQ answer references the firm's "backend system." Does this include the middle-office system, such as an Order Management system that transmits allocations to the clearing or settlement system?
7. Can a firm use an Order Adjusted Event (MEOJ) for route modifications received from another Industry Member?
8. Regarding FAQ Q31, if a clearing firm believes that it is subject to a confidentiality obligation that would restrict the clearing firm from providing LTID information to an introducing firm, can the clearing firm advise the introducing firm that the introducing firm should obtain this information from the customer?