

MFT File Upload and Pick up Process

URL: <u>https://mft.nyse.com</u> User ID: mdc_******** Password: System issued password as notifed via email.

Helpful Hint: Do not "copy & paste" your assigned user ID & password from the email notification(s) into <u>https://mft.nyse.com</u>, please type them, to avoid error message(s).

Prior to file upload, please ensure that the naming convention is: AccountName_VendorInquiry.dat

CE / NYSE	
Please sign in	_
	_
User ID :	_
Password :	_
Sign In	_
	_
	_
	_
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Click on the Mailbox Path dropdown under upload files section:

ICE / NYSE		Welcome mdc_41778	33893	
		Home	Profile	Sign Out
Upload Files [pwnload Files				
Upload a file Specify mailbox file and rer	naming pattern			
Mailbox Path :	u di			
File :	/ /report			
	/report/dropoff			
	/report/pickup			
Curd				
Send				

It expands to display: /, /report, /report/dropoff and /report/pickup mailbox path choices.

MFT File Upload Process:

Select /report/dropoff:

Welcome Hide_41/	Welcome mdc_4177833893		
Home	Profile	Sign Out	
Upload Files Download Files			
Upload a file Specify mailbox file and renaming pattern			
Mailbox Path : //report/dropoff			
File: Choose File No file chosen			
Send			

For Chrome/Safari: Select **Choose Files** option to select the file to upload from your PC and select **Send** to complete the upload.

ICE / NYSE		Welcome mdc_41778:	.ce	
		Home	Profile	Sign Out
Upload Files Download File	s			
Upload a file Specify mailbox file and re	naming pattern			
Mailbox Path :	/report/dropoff 🛛			
File :	Choose File AccountNamdorInquiry.dat			
Send				

For Internet Explorer/Firefox: Select the **Browse** option to select the file to upload from your PC and select **Send** to complete the upload.

ICE / NYSE		Welcome mdc_417783	33893	
		Home	Profile	Sign Out
Upload Files Download Files	l			
Upload a file Specify mailbox file and rea	naming pattern			
Mailbox Path :	v			
File :	Browse			
Send				

Once uploaded, a note will pop up indicating that the file upload succeeded.

ICE / NYSE	Welcome mdc_417783	13893	
	Home	Profile	Sign Out
Upload Files Download Files			
Upload a file Specify mailbox file and renaming pattern			
Mailbox Path : //report/dropoff			
File: Choose File AccountNamdorInquiry.dat			
Send Note Send File upload succeeded Bytes written: 2541 Message1d: 3151006. OK			

Shortly thereafter a NYSE File Delivery Notification (Exhibit B) will be emailed from NYSE UCert MFT (<u>UCertCompliance@nyse.com</u>) to the provided group email ID on the MFT Form.



This validates that the file was successfully uploaded, to the correct destination.

MFT File Fails:

Should the uploaded file fail to process successfully, one of two e-mail notifications will be generated as follows:

File failed due to structural changes:

The file has failed due to structural issues. Please click <u>here</u> to verify the file data requirements and resubmit the file.

Kindly contact NYSE UCert MFT at <u>UCertCompliance@nyse.com</u> for further assistance.

Or;

File failed due to invalid contents on the file:

The file has failed due to invalid data in the file. It may be due to special characters, invalid data type and/or data length in each column.

Kindly contact NYSE UCert MFT at <u>UCertCompliance@nyse.com</u> for further assistance.

Corrections will need to be made to the failed file, and the file then resubmitted, as outlined above.

MFT File Pick up Process:

Upon completion of the above process and receipt of the below email from NYSE UCert MFT (<u>UCertCompliance@nyse.com</u>) to the provided group email on the MFT Form.

NYSE File Delivery Notification				
NYSE UCert MFT	← Reply	Keply All	\rightarrow Forward	
To Group Email ID		V	/ed 12/22/2021 10):39 AM
CTA Consolidated Tape Association		File Deliv	verv Notifica	ation
You have a new file AccountName_VendorInquiry_Report_4784_20211222.xlsx available for pickup at /report/pickup.			,	

Click on the **download files** section to retrieve the files available for pickup.

ICE / NYSE Welcome mdc_4177833893					
			Home	Profile	Sign Out
Upload Files Download Files					
Download a file Filter your mailbox by using the column in	put fields				
					8
Received	File Name	Mailbox			File Size
12/22/2021 10:39:11	AccountName_VendorInquiry_R	eport_4784_20211 /report/pickup			43954 bytes

For files with CRD Matches and files with no CRD Matches, the file name will appear as: AccountName_VendorInquiry_Report_FileIDYYYYMMDD.xlsx

For files that are rejected the file name will appear as: AccountName_VendorInquiry_Report_FileID_YYYYMMDD_Reject.dat

Click on the file name to download the file in .xlsx format and click **OK** on the **Confirm** pop up.

ICE / NYSE				Welcome mdc_41778:	33893	.ce
				Home	Profile	Sign Out
Upload Files Download Files						
Download a file Filter your mailbox by using the column input	fields					
						8
Received	File Name		Mailbox			File Size
12/22/2021 10:39:11	AccountNa Confirm	Are you sure that you want to File: AccountName_VendorIn From: /report/pickup OK	download this file? download this file? cancel	SX		43954 bytes

For Chrome/Safari: Click on the file name in the bottom of the screen to open the file.

ICE / NYSE			Welcome mdc_417783	13893	
			Home	Profile	Sign Out
Upload Files Download Files					
Download a file Filter your mallbox by using the column input fields					
	ii iiiiiiiiiiiiiiiiiiiiiiiiiiiiiiiiiii				9
Received	File Name	Mailbox			File Size
12/22/2021 10:39:11	AccountName_VendorInquiry_Report_4784_20211	/report/pickup			43954 bytes
				3	lete 💽 Refresh
AccountName_Vexlsx					Show all X

For Internet Explorer/Firefox: Click **Open** on the bottom of the screen to open the file.

ICE / NYSE	Welcome mdc_4177833893					
				Home	Profile	Sign Out
Upload Files Download Fi	les					
Download a file Filter your mailbox by usi	ing the column input fields					
						8
Received		File Name	Mailbox			File Size
12/22/2021 10:39:1	1	AccountName_VendorInquiry_Report_4784_20211	/report/pickup			43954 bytes
	Do you want to open or save A	ccountName_VendorInquiry_Report_4784_20211222.x	lsx from mft.nyse.com?	Open	Save Cancel	e Refresh

In order to delete a file, select the file name using the checkbox and click on **Delete**.

ICE / NYSE			Welcome mdc_41778	33893	.ce
			Home	Profile	Sign Out
Upload Files Download Files					
Download a file Filter your mailbox by using the column input fields					
					8
Received	File Name	Mailbox			File Size
12/22/2021 10:39:11	AccountName_VendorInquiry_Report_4784_20211	/report/pickup			43954 bytes
					lete 🐼 Refresh

Please note-

- These reports will be made available to vendors via the MFT accounts and will be retained in the MFT Directory for <u>14</u> calendar days only, and subsequently deleted permanently. Deleted files are not retrievable and vendors will need to resubmit their files for UCert processing.
- The MFT related screens in this document i.e., the instructions, images and/or URLs are up-todate and may be different compared to those in the <u>UCert Instructional Video</u>.