

Ovation Platform – CSV Input Guide for Clearing Members

OCC

**THE FOUNDATION
FOR SECURE
MARKETS®**

Ovation Platform – CSV Input Guide for Clearing Members

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Overview

About This Document

This *OCC Ovation Platform – CSV Input Guide for Clearing Members* explains how clearing members can use the user interface in the Ovation clearance and settlement system (“Clearing System”) and the Derived Positions & Excess Deficit System to upload data files containing post trade and collateral information. The files are in comma-separated values (CSV) format, which are delimited text files that use commas to separate values.

Refer to [Ovation Platform – CSV Input Templates for Clearing Members](#) for templates for the CSV files.

If you have questions or comments, please contact your Member Services representative or the OCC Help Desk at one of the following:

- 800-621-6072 or 800-544-6091 (U.S.)
- 800-424-7320 (Canada)
- memberservices@theocc.com

What’s New With the Ovation Platform?

The CSV upload function and file layouts described in this guide are new with the Ovation platform. The ENCORE system does not offer the features described in this guide.

Uploadable CSV File Processing

Clearing Members should be aware of the following:

- CSV uploads should only be used when a firm is unable to submit transactions via their normal process such as inbound FIXML. It can also be used for transactions that are not part of standard processing, such as large transfers. This functionality should not be used on a regular basis.
- OCC processes records in real time.
- The maximum file size is 128 kilobytes (KB).
- Depending on the transaction type, duplicate records may be processed or ignored.
 - If a file has a Client Set ID and a duplicate transaction is submitted with the same Client Set ID, same symbol, strike, and so on, the record is ignored. If it is submitted with the same Client Set ID and different data, the record is rejected. The following layouts include Client Set IDs:
 - ◆ Collateral
 - ◆ Open Up and Close Out Adjustments
 - ◆ Position transfers

- If a layout does not have a Client Set ID, transactions for the same account and instrument are accepted and processed. The following transactions do not have Client Set IDs, meaning duplicate records are accepted for these transactions:
 - ◆ Average Price Groups
 - ◆ Contrary Exercise Intentions
 - ◆ Customer Gross Margin
 - ◆ Exercise by Exception (Ex by Ex) Quantities
 - ◆ Give Ups
 - ◆ Member Agreements
 - ◆ Position Change Submissions (PCS)
 - ◆ Spread Instructions
 - ◆ Standard Exercise Intentions
- The following file types are accepted:
 - CSV (Comma Delimited) (*.csv)
 - CSV (Macintosh) (*.csv)
 - CSV (MS-DOS) (*.csv)

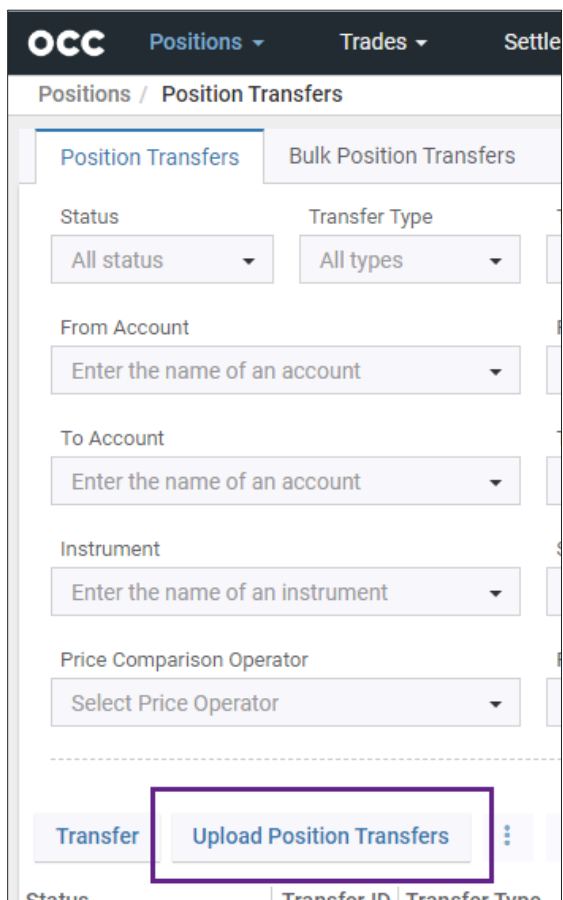
Uploading Files

Clearing members can use the Ovation user interface to upload the CSV file types listed in this guide. Different Ovation platform screens are used for the various data types, but the CSV file upload process is the same. An example of the upload process appears below.

CSV File Upload Process Example

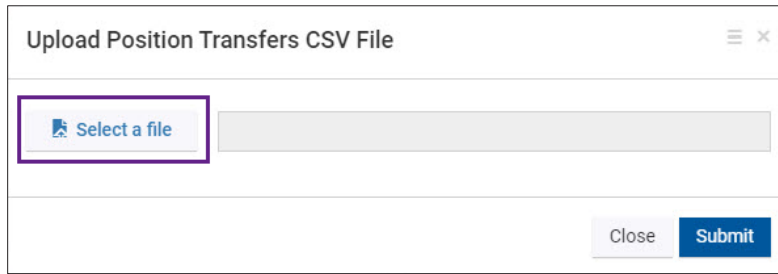
Complete the following steps to upload a Position Transfers CSV file.

1. Access the Clearing System in the Ovation platform.
2. Navigate to **Positions > Position Transfers**.
3. Select **Upload Position Transfers**.

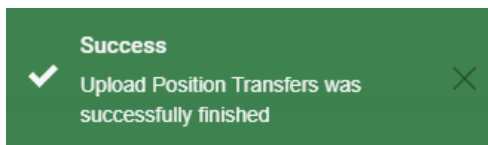


The screenshot displays the Ovation platform interface for the 'Position Transfers' section. The top navigation bar includes 'OCC', 'Positions', 'Trades', and 'Settle'. Below the navigation, the breadcrumb 'Positions / Position Transfers' is visible. The main content area features two tabs: 'Position Transfers' (selected) and 'Bulk Position Transfers'. Below the tabs, there are several filter and selection dropdowns: 'Status' (set to 'All status'), 'Transfer Type' (set to 'All types'), 'From Account' (placeholder: 'Enter the name of an account'), 'To Account' (placeholder: 'Enter the name of an account'), 'Instrument' (placeholder: 'Enter the name of an instrument'), and 'Price Comparison Operator' (placeholder: 'Select Price Operator'). At the bottom of the form, there are three buttons: 'Transfer', 'Upload Position Transfers' (highlighted with a purple box), and a vertical ellipsis menu icon. Below the buttons, a table header is partially visible with columns for 'Status', 'Transfer ID', and 'Transfer Type'.

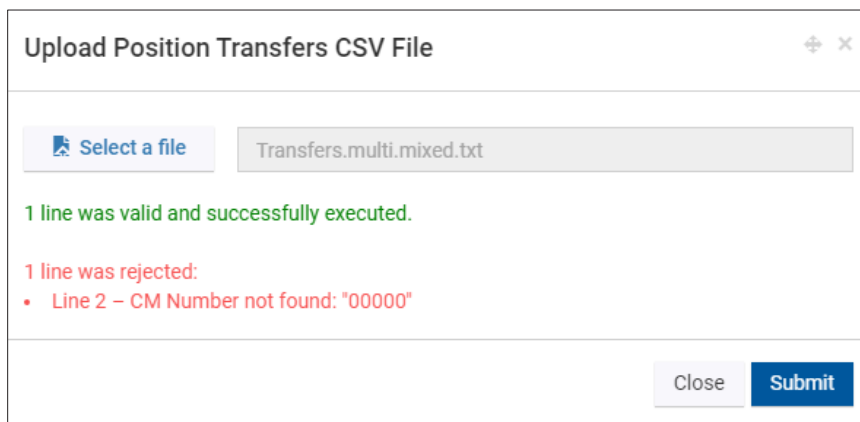
- In the Upload Position Transfers CSV File window, select the **Select a file** button.



- Select a file to upload.
 - Select **Submit**.
- If the file uploads with no errors, a Success message appears in the lower left corner of the window.



- If the file uploads with errors, the Upload Position Transfers CSV File window displays a summary of lines that were uploaded successfully or rejected.



- Select **Close** to close the Upload Position Transfers CSV File window.
- To view uploaded files, select **Refresh** on the **Position Transfers** tab in the Positions/Position Transfers window.

Resolving File Upload Issues

The upload file window displays information for records that do not pass system validations. Correct the invalid data and upload another CSV file containing the correction. Depending on the type of transaction, the system may ignore records that have the same account and instrument. Refer to

“Uploadable CSV File Processing” on page 1 for information regarding duplicate record handling for individual transaction types.

Layouts

This guide contains information about the following uploadable CSV files:

- Clearing System
 - [Standard Exercise Intentions](#)
 - [Contrary Exercise Intentions](#)
 - [Ex by Ex Quantities](#)
 - [Position Transfers](#)
 - [Open Up and Close Out Adjustments](#)
 - [Position Change Submissions \(PCS\)](#)
 - [Average Price Groups](#)
 - [Give Ups](#)
 - [Collateral](#)
 - [Member Agreements](#)
- Customer Gross Margin Positions
 - [Customer Gross Margins](#)
- Spread Instructions
 - [Spread Instructions](#)

Standard Exercise Intentions

Overview

Clearing members can use the Ovation platform user interface to upload CSV files containing standard exercise intention information. Since there is no unique ID on the standard exercise intention record, transactions for the same account and instrument are accepted for processing and quantities are cumulative.

To locate the user interface window for uploading Standard Exercise Intentions CSV files:

1. Access the Clearing System in the Ovation platform.
2. Select **Positions > Option Exercise**, then select the **Exercise Intentions** tab.
3. Select **Upload Standard Intentions**.

Refer to the “CSV File Upload Process Example” on page 3 for more details about uploading files.

Standard Exercise Intentions CSV Layout

The first record of the Standard Exercise Intentions CSV file is a header record. Detail records follow the header record.

The positions shown in the layout table reflect record positions, independent of whether data exists for those field entries. If no data exists, no value appears between the commas for that file position.

Header Record Information (Row 1)

Positions	Description
1-9	Field information for detail records. The Detail Records table lists the headings in the Field column. The header record must match the field names exactly as they appear in the Field column.

Detail Records (Starting on Row 2)

Position	Field	Data Description/Enumerations	Sample	Required
1	Tradable Instrument Symbol	Symbol	AAPL	Yes
2	Call/Put	Option type: <ul style="list-style-type: none"> ■ Call ■ Put 	Call	Yes
3	Series Contract Date	Series/Contract Date (YYYYMMDD)	20220322	Yes
4	Strike Price	Option strike price	200.00	Yes
5	Clearing Member Number	Clearing member number Must be five digits	00991	Yes
6	Position Account Type	Account type: <ul style="list-style-type: none"> ■ C – Customer ■ F – Firm ■ M – Market maker 	M	Yes
7	Sub Account ID	Sub account ID For market maker or accounts with sub-account IDs	ABC	Yes, if the account type is M
8	Exercise Quantity	Exercise intention quantity Positive or negative values can be submitted.	15	Yes
9	Comment	Free text field	Comment	

Implementation Considerations

A previously established standard exercise intention quantity may be adjusted by another record for the same account and tradable instrument. A positive number increases the previous quantity. A negative number reduces the quantity of the standard exercise intention. For example, if a current exercise is 15 and a new exercise is sent with -2, the new exercise quantity is 13.

Contrary Exercise Intentions

Overview

Clearing members can use the Ovation platform user interface to upload CSV files containing contrary exercise intentions information, which may include Do Not Exercise Declaration (DNED) instructions or Expiring Exercise Declarations (EED) instructions.

Since there is no unique ID on the contrary exercise intentions record, transactions for the same account and instrument are accepted for processing and are cumulative.

To locate the user interface window for uploading Contrary Exercise Intentions CSV files:

1. Access the Clearing System in the Ovation platform.
2. Select **Positions > Option Exercise**, then select the **ExByEx** tab.
3. Select **Upload Contrary Intentions**.

Refer to the “CSV File Upload Process Example” on page 3 for more details about uploading files.

Contrary Exercise Intentions CSV Layout

The first record of the Contrary Intentions CSV file is a header record. Detail records follow the header record.

The positions shown in the layout table reflect field positions, independent of whether data exists for those field entries. If no data exists, no value appears between the commas for that file position.

Header Information (Row 1)

Positions	Description
1-10	Field information for detail records. The Detail Records table lists the headings in the Field column. The header record must match the field names exactly as they appear in the Field column.

Detail Records (Starting on Row 2)

Position	Attribute (Appears in the Header – Row 1)	Data Description/Enumerations	Sample	Required
1	Tradable Instrument Symbol	Symbol	AAPL	Yes
2	Call/Put	Option type: <ul style="list-style-type: none"> ■ Call ■ Put 	Call	Yes
3	Series Contract Date	Series/Contract Date (YYYYMMDD)	20220322	Yes
4	Strike Price	Option strike price	200.00	Yes
5	Clearing Member Number	Clearing member number Must be five digits	00991	Yes
6	Position Account Type	Account type: <ul style="list-style-type: none"> ■ C – Customer ■ F – Firm ■ M – Market maker 	M	Yes
7	Sub Account ID	Sub account ID For market maker or accounts with sub-account IDs	ABC	Yes if the account type is M
8	EED Quantity	EED quantity to exercise Positive or negative value can be submitted.	15	
9	DNED Quantity	DNED quantity (not to be exercised) Positive or negative value can be submitted.	-2	
10	Comment	Free text field	Comment	

Implementation Considerations

A previously established EED or DNED quantity may be adjusted by another record for the same account and instrument. A positive number increases the previous quantity. A negative number reduces the quantity of the contrary exercise intention. For example, if a current EED is 15 and a second EED is sent with -2, the new EED quantity is 13.

Ex by Ex Quantities

Overview

Clearing members can use the Ovation platform user interface to upload CSV files containing exercise quantity information for expiring positions on the Ex by Ex tab of the Options Exercise menu selection. The quantity information in the CSV file appears updates the **Will Be Exercised** field.

Since there is no unique ID on the ex by ex quantity record, transactions for the same account and instrument are accepted for processing and are cumulative.

To locate the user interface window for uploading Ex by Ex Quantities CSV files:

1. Access the Clearing System in the Ovation platform.
2. Select **Positions > Option Exercise**, then select the **ExByEx** tab.
3. Select **Upload Exercise Quantity**.

Refer to the “CSV File Upload Process Example” on page 3 for more details about uploading files.

Ex by Ex Quantities CSV Layout

The first record of the Ex by Ex Quantities CSV file is a header record. Detail records follow the header record.

The positions shown in the layout table reflect field positions, independent of whether data exists for those field entries. If no data exists, no value appears between the commas for that file position.

Header Information (Row 1)

Positions	Description
1-9	Field information for detail records. The Detail Records table lists the headings in the Field column. The header record must match the field names exactly as they appear in the Field column.

Detail Records(Starting on Row 2)

Position	Field	Data Description/Enumerations	Sample	Required
1	Tradable Instrument Symbol	Symbol	AAPL	Yes
2	Call/Put	Option type: <ul style="list-style-type: none"> ■ Call ■ Put 	Call	Yes
3	Series Contract Date	Series/Contract Date (YYYYMMDD)	20220322	Yes
4	Strike Price	Option strike price	200.00	Yes
5	Clearing Member Number	Clearing member number Must be five digits	00991	Yes
6	Position Account Type	Account type: <ul style="list-style-type: none"> ■ C – Customer ■ F – Firm ■ M – Market maker 	M	Yes
7	Sub Account ID	Sub account ID For market maker or accounts with sub account IDs	ABC	Yes if the account type is M
8	Will Be Exercised Quantity	Exercise quantity	15	Yes
9	Comment	Free text field	Comment	

Position Transfers

Overview

Clearing members can use the Ovation platform user interface to upload CSV files containing position transfer information, including external transfers of account, CMTA transfers, and adjustments (internal transfers).

For Position Transfers, if a record for the same account and instrument is submitted with the same Client Set Transfer ID, the record is accepted but the transaction is ignored. This prevents users from uploading identical files by mistake. If a transaction is identical and needs to be submitted, it must have a unique Client Set Transfer ID to be processed.

To locate the user interface window for uploading Position Transfer CSV files:

1. Access the Clearing System in the Ovation platform.
2. Select **Positions > Position Transfers**, then select the **Position Transfers** tab.
3. Select **Upload Position Transfers**.

Refer to the “CSV File Upload Process Example” on page 3 for an example of uploading Position Transfer files.

Position Transfers CSV Layout

The first record of the Position Transfer CSV file is a header record. Detail records follow the header record.

The positions shown in the layout table reflect field positions, independent of whether data exists for those field entries. If no data exists, no value appears between the commas for that file position.

Header Record (Row 1)

Positions	Description
1-26	Field information for detail records. The Detail Records table lists the headings in the Field column. The header record must match the field names exactly as they appear in the Field column.

Detail Records (Starting on Row 2)

Position	Field	Data Description/Enumerations	Sample	Required
1	Client set transfer ID	Message identifier, unique for the entering clearing member number per business day	1	Yes
2	Business date	Business date (YYYYMMDD)	20221201	Yes
3	Transfer type	Position transfer type: <ul style="list-style-type: none"> ■ CMTA ■ Adjustment ■ External 	CMTA	Yes
4	Symbol	Symbol	EWA	Yes
5	Series contract date	Series contract date (YYYYMMDD)	20200302	Yes
6	Call/Put	Option type: <ul style="list-style-type: none"> ■ Call ■ Put 	Call	Yes for options and options on futures
7	Strike price	Option strike price	22.00	Yes for options and options on futures
8	Quantity	Quantity to transfer Must be a positive number	10	Yes
9	From Side	Buy or sell indicator: <ul style="list-style-type: none"> ■ Buy ■ Sell 	Buy	Yes

Position	Field	Data Description/Enumerations	Sample	Required
10	From Position Effect	Open or close indicator for the transfer originator: <ul style="list-style-type: none"> ■ Open ■ Close 	Close	Yes
11	To Position Effect	Open or close indicator for the transfer destination: <ul style="list-style-type: none"> ■ Open ■ Close 	Open	Yes
12	Price	Price associated with the transfer	10.30	Yes for CMTA and futures if the transfer type is External or Adjustment
13	From Account	Originating clearing member number and account type Must be five digits followed by the account type. Sub Accounts must be included, if applicable.	00991 F	Yes
14	From Actionable/ Customer ID	Actionable ID used on the originating side	ABC	
15	From Optional data	Free text field	Comment	
16	To CM#	Destination clearing member number Must be five digits	00992	Yes
17	To Account type	Destination account type <ul style="list-style-type: none"> ■ C – Customer ■ F – Firm ■ M – Market maker 	M	Yes
18	To Sub Account ID	Destination sub account ID	ABC	Yes if the account type is M
19	To Actionable/ Customer ID	Destination actionable/customer ID	1234567890	Yes if the transfer type is CMTA
20	To Optional data	Free text field	Comment	
21	As-of-date	As-of-date of the transfer (YYYYMMDD)	20201130	
22	EFP	Exchange for physical indicator: <ul style="list-style-type: none"> ■ N – No ■ Y – Yes 	Y	

Position	Field	Data Description/Enumerations	Sample	Required
23	Block trade	Block trade indicator: <ul style="list-style-type: none"> ■ N – No ■ Y – Yes 	N	
24	ORF Indicator	Options regulatory fee indicator: <ul style="list-style-type: none"> ■ N – No ■ Y – Yes Used for CMTA transfers only	Y	
25	Trade IDs	Trade IDs list For CMTA transfers only Trade IDs must be separated by semicolons	1;257;1196; 13242	
26	EFR	Exchange for risk indicator: <ul style="list-style-type: none"> ■ N – No ■ Y – Yes 	N	

Open Up and Close Out Adjustments

Overview

Clearing members can use the Ovation platform user interface to upload CSV files to adjust the long and short quantity of a position within the same account type of a clearing member number.

For Open Up and Close Out adjustments, if a record for the same account and instrument with the same Client Set ID is received, the record is accepted but the transaction is ignored. This prevents users from uploading identical files in error. If a transaction is identical and needs to be submitted, it must have a unique Client Set ID to be processed.

To locate the user interface window for uploading Open Up and Close Out Adjustments CSV files:

1. Access the Clearing System in the Ovation platform.
2. Select **Positions > Position Transfers**, then select the **Open Ups & Close Outs** tab.
3. Select **Upload Open Up or Close Out**.

Refer to the “CSV File Upload Process Example” on page 3 for more details about uploading files.

Open Up/Close Out CSV Layout

The first record of the Open Up/Close Out CSV file is a header record. Detail records follow the header record.

The positions shown in the layout table reflect field positions, independent of whether data exists for those field entries. If no data exists, no value appears between the commas for that file position.

Header Information (Row 1)

Positions	Description
1-12	Field information for detail records. The Detail Records table lists the headings in the Field column. The header record must match the field names exactly as they appear in the Field column.

Detail Records(Starting on Row 2)

Position	Field	Data Description/Enumerations	Sample	Required
1	Client set ID	Client determined unique ID for a particular give up	1	Yes
2	Business date	Business date (YYYYMMDD)	20192031	Yes
3	Transfer type	Transfer type: <ul style="list-style-type: none"> ■ Open Up ■ Close Out 	Open Up	Yes
4	Symbol	Symbol	EWA	Yes
5	Series contract date	Series/Contract Date (YYYYMMDD)	20201122	Yes
6	Call/Put	Option type: <ul style="list-style-type: none"> ■ Call ■ Put 	Call	Yes for options on futures
7	Strike price	Option strike price	100	Yes for options on futures
8	Quantity	Open up or close out quantity	10	Yes
9	Clearing Member Number	Clearing member number Must be five digits	00991	Yes
10	Account Type	Account type: <ul style="list-style-type: none"> ■ C – Customer ■ F – Firm ■ M – Market maker 	M	Yes
11	Sub Account ID	Sub account ID For market maker or accounts with sub account IDs.	ABC	Yes, if the account type is M

Position	Field	Data Description/Enumerations	Sample	Required
12	Comment	Free text field	Comment	

Position Change Submissions

Overview

Clearing members can use the Ovation platform user interface to upload CSV files containing PCS information, including position changes and late position changes. The same format is used for both uploads.

Since there is no unique ID on the PCS record, transactions for the same account and instrument are accepted for processing until the position has been locked from future updates.

To locate the user interface window for uploading Position Change Submissions CSV files:

1. Access the Clearing System in the Ovation platform.
2. Select **Positions > Position Change Submissions**, then select the **Position Change Submissions** tab.
3. Select **Upload Position Changes**. For late position changes, select **Upload Late Position Changes**.

Refer to the “CSV File Upload Process Example” on page 3 for more details about uploading files.

PCS CSV Layout

The first record of the PCS CSV file is a header record. Detail records follow the header record.

The positions shown in the layout table reflect field positions, independent of whether data exists for those field entries. If no data exists, no value appears between the commas for that file position.

Header Information (Row 1)

Positions	Description
1-11	Field information for detail records. The Detail Records table lists the headings in the Field column. The header record must match the field names exactly as they appear in the Field column.

Detail Records (Starting on Row 2)

Position	Field	Data Description/Enumerations	Sample	Required
1	Business Date	Business date (YYYYMMDD)	20192031	Yes
2	CM#	Clearing member number Must be five digits	00991	Yes
3	Account Type	Account type: <ul style="list-style-type: none"> ■ C – Customer ■ F – Firm ■ M – Market maker 	M	Yes
4	Sub Account ID	Sub account ID For market maker or accounts with sub account IDs	123	Yes if the account type is M
5	Symbol	Symbol	EWA	Yes
6	Series Contract Date	Series/Contract Date (YYYYMMDD)	20201122	Yes
7	Call/Put	Option type: <ul style="list-style-type: none"> ■ Call ■ Put 	Call	Yes for options on futures
8	Strike Price	Option strike price	100	Yes for options on futures
9	PCS Long	Expected long quantity	10	Yes
10	Optional Data	Free text field	Comment	
11	Locked	Indicates a position is locked from further updates: <ul style="list-style-type: none"> ■ True ■ False 	True	

Implementation Considerations

Any PCS transaction for the same position replaces the previous transaction until the position is locked from further updates. It is not a cumulative update.

Average Price Groups

Overview

Clearing members can use the Ovation platform user interface to upload CSV files to create average price groups for cleared futures trades with identical critical information (Open/Close, Buy/Sell, expiration date, Clearing Member #, Account Type) or upload compatible trades to existing average price groups.

For average price groups, if a record for the same account and instrument with the same Trade ID is received, the record is not accepted. This prevents users from uploading identical files in error. If a trade has identical critical information and needs to be submitted to an already existing average price group, it must have a unique Trade ID to be processed.

To locate the user interface window for uploading Average Price Groups CSV files:

1. Access the Clearing System in the Ovation platform.
2. Select **Trades > Trades**, then select the **Average Price Group** tab.
3. Select **Upload Average Price Group**.

Refer to the “CSV File Upload Process Example” on page 3 for more details about uploading files.

Average Price Group CSV Layout

The first record of the Average Price Group CSV file is a header record. Detail records follow the header record.

The positions shown in the layout table reflect field positions, independent of whether data exists for those field entries. If no data exists, no value appears between the commas for that file position.

Header Information (Row 1)

Positions	Description
1-12	Field information for detail records. The Detail Records table lists the headings in the Field column. The header record must match the field names exactly as they appear in the Field column.

Detail Records(Starting on Row 2)

Position	Field	Data Description/Enumerations	Sample	Required
1	TradeID	Unique identifier for a trade	500225	No
2	Business date	Business date (YYYYMMDD)	20230201	Yes
3	APGGroupName	Name of the average price grouped trade	GRP12345	Yes
4	Symbol	Symbol	A1D	Yes
5	Series contract date	Series/contract date (YYYYMMDD)	20230201	Yes
6	Call/Put	Option type: <ul style="list-style-type: none"> ■ Call ■ Put 	Put	Yes for options on futures
7	Strike price	Option strike price	100	Yes for options on futures
8	Side	Buy or sell side	Buy	Yes
9	Position Effect	Open or close	Open	No
10	Clearing Member Number	Clearing member number	00991	Yes
11	Account Type	Account type: <ul style="list-style-type: none"> ■ C – Customer ■ F – Firm ■ M – Market maker 	F	Yes
12	Sub Account ID	Sub account ID For market maker or accounts with sub account IDs.	ABC	Yes if the account type is M

Give Ups

Overview

Clearing members can use the Ovation platform user interface to upload CSV files containing give up (allocation) information. Give ups may only be submitted for futures and options on futures.

To locate the user interface window for uploading Give Ups CSV files:

1. Access the Clearing System in the Ovation platform.
2. Select **Trades > Give Ups & Take Ups**, then select the **Give Ups and Take Ups** tab.
3. Select **Upload Give Ups**.

Refer to the “CSV File Upload Process Example” on page 3 for more details about uploading files.

Give Ups CSV Layout

The first record of the Give Ups CSV file is a header record. Detail records follow the header record.

The positions shown in the layout table reflect field positions, independent of whether data exists for those field entries. If no data exists, no value appears between the commas for that file position.

Header Information (Row 1)

Positions	Description
1-18	Field information for detail records. The Detail Records table lists the headings in the Field column. The header record must match the field names exactly as they appear in the Field column.

Detail Records (Starting on Row 2)

Position	Field	Data Description/Enumerations	Sample	Required
1	Give Up Type	Trade type: <ul style="list-style-type: none"> Normal – Normal give up 	Normal	Yes
2	Internal Trade ID	OCC trade ID This information is on the Trade screen.	56987430	Yes
3	Symbol	Symbol	EWA	Yes
4	Series Contract Date	Series/Contract Date(YYYYMMDD)	20220302	Yes
5	Call/Put	Option type: <ul style="list-style-type: none"> Call Put For options on futures only	Call	Yes for options on futures
6	Strike Price	Option strike price For options on futures only	100	Yes for options on futures
7	Give Up Quantity	Quantity to give up	15	Yes
8	Destination Position Effect	Open or close indicator for the give up destination: <ul style="list-style-type: none"> Close Open 	Open	
9	To CM#	Destination clearing member number (take up member) Must be five digits	00991	Yes
10	To Account Type	Destination account type: <ul style="list-style-type: none"> C – Customer F – Firm M – Market maker 	C	

Position	Field	Data Description/Enumerations	Sample	Required
11	To Sub Account ID	Destination sub account ID For market maker or accounts with sub-account IDs.	ABC	Yes, if the account type is M
12	To Actionable/Customer ID	Destination actionable/customer ID	ABC	
13	To Order ID	Sequence number or order ID to set on take up trade	987654	
14	CTI Code	CTI code to set on take up trade	3	
15	Spread Indicator	Spread indicator: <ul style="list-style-type: none"> ■ 1 – Single security/outright ■ 2 - Individual leg of multi-leg security/spread 	1	
16	To Optional Data	Free text field for the destination side	Comment	
17	Firm Trade ID	Free text field for firm trade ID	4568	
18	As Of Date	As of Date (YYYYMMDD)	20220110	

Collateral

Overview

Clearing members can use the Ovation platform user interface to upload CSV files to submit one or multiple deposit or withdrawal requests for one or multiple collateral types at one time.

Files must have unique Client Set IDs to be processed. If a file with the same Client Set ID is received and the rest of the fields are the same, the record is accepted but the transaction is ignored. If a file is received with the same Client Set ID and other fields are different, the transaction is rejected.

To locate the user interface window for uploading Collateral CSV files:

1. Access the Clearing System in the Ovation platform.
2. Select the **Settlement & Collateral > Positions**, then select the **Collateral Positions** tab.
3. Select **Bulk Upload > Collateral**.

Refer to the “CSV File Upload Process Example” on page 3 for more details about uploading files.

Collateral Transaction CSV Layout

The first record of the Collateral Transaction CSV file is a header record. Detail records follow the header record.

The positions shown in the layout table reflect field positions, independent of whether data exists for those field entries. If no data exists, no value appears between the commas for that file position.

Header Information (Row 1)

Positions	Description
1-14	Field information for detail records. The Detail Records table lists the headings in the Field column. The header record must match the field names exactly as they appear in the Field column.

Detail Records (Starting on Row 2)

Position	Field	Data Description/Enumerations	Sample	Required
1	Client Set ID	Message identifier, unique for the entering user per business day and operation type (deposit or withdrawal).	AAA001	Yes
2	Collateral Type	Collateral type to deposit or withdraw: <ul style="list-style-type: none"> ■ CAD GS – Canadian dollar government securities ■ CASH – Cash ■ ED – Escrow cash deposits (for asset manager only) ■ SD – Specific deposits (withdrawal only) ■ USD GS – US dollar government securities ■ USD GSE – USD government sponsored enterprises ■ VS – Valued securities (withdrawal only) 	CASH	Yes
3	Operation	Operation type: <ul style="list-style-type: none"> ■ Deposit ■ Withdrawal 	DEPOSIT	Yes
4	Priority	Transaction priority to be used when retrying pending transactions Not applicable for Collateral Type ED	2	No
5	Asset	Asset to deposit or withdraw	USD AAPL 037833100	Yes

Position	Field	Data Description/Enumerations	Sample	Required
6	Account	ID number and account type of the clearing member account to deposit collateral to or withdraw collateral from. Account type codes: <ul style="list-style-type: none"> ■ C – Customer ■ F – Firm ■ M – Market maker ■ Z – Clearing fund 	00123 C	Yes
7	Asset Manager	Acronym of the asset manager where the collateral is deposited or withdrawn.	BMO	Yes if Collateral Type is USD GS, USD GSE, or CAD GS Must be blank otherwise
8	Pledgor	CMO's pledgor account at DTCC (Used for withdrawals only)	0123	Yes if Collateral Type is VS or SD Must be blank otherwise
9	Tradable Instrument	Tradable instrument in an SD or ED collateral position	AAPL 20200302 C 187.50	Yes if Collateral Type is SD, ED Must be blank otherwise
10	Customer Account	Customer's account number at the asset manager	ABC123	Yes if Collateral Type is ED Must be blank otherwise
11	Customer Account Name	Customer account name for escrow deposits	John Smith	Optional if Collateral Type is ED Must be blank otherwise
12	Customer Cash Bank Account	Customer's cash bank account number at the asset manager	H-25458-568	Yes if Collateral Type is ED Must be blank otherwise
13	Amount	Amount to be deposited or withdrawn	2510	Yes
14	Two Day Withdrawal	Indicates if the collateral to withdraw is a two-day cash collateral on clearing fund account: <ul style="list-style-type: none"> ■ Yes – Initiate withdrawal of cash collateral on clearing fund account (T+2) ■ All other values (including empty) – Initiate withdrawal of cash collateral on clearing fund account for the current day Only applicable for transactions where Account includes account type Z (for clearing fund). Two Day Withdrawal values are disregarded for all other collateral transactions.	Yes	No

Member Agreements

Overview

Clearing members can use the Ovation platform user interface to upload CSV files containing Clearing Member Trade Assignment (CMTA) or give up information in order to add member agreements to the Ovation platform. Clearing members can use CSV files to upload single or multiple agreements.

CMTA agreements are used for options processing. Give up agreements are used for futures and options on futures processing. Although the agreements are not required, they streamline the process of moving trades from one account to another.

To locate the user interface window for uploading Member Agreements CSV files:

1. Access the Clearing System in the Ovation platform.
2. Select **Reference Data > Member Agreements**.
3. Select **Upload Member Agreements**.

Refer to the “CSV File Upload Process Example” on page 3 for more details about uploading files.

Member Agreements CSV Layout

The first record of the Member Agreements CSV file is a header record. Detail records follow the header record.

The positions shown in the layout table reflect field positions, independent of whether data exists for those field entries. If no data exists, no value appears between the commas for that file position.

Header Record (Row 1)

Positions	Description
1-5	Field information for detail records. The Detail Records table lists the headings in the Field column. The header record must match the field names exactly as they appear in the Field column.

Detail Records(Starting on Row 2)

Position	Field	Data Description/Enumerations	Sample	Required
1	Name of Proposing CM#	Number of the clearing member who initiated adding the agreement	00991	Yes
2	Agreement Type	Agreement type: <ul style="list-style-type: none"> ■ CMTA ■ Give_up 	CMTA	Yes
3	Role for proposing CM#	Proposing clearing member role: <ul style="list-style-type: none"> ■ Executor ■ Take_up 	Executor	Yes
4	Name of Approving CM#	Number of the clearing member who is asked to approve adding the agreement	00992	Yes
5	Actionable/Customer ID	Actionable identifier/account number Does not apply to CMTA agreements.	ABC123	Yes for give up agreements

Customer Gross Margin

Overview

Clearing members can use the Ovation platform user interface to upload CSV files identifying the positions of each customer account.

Clearing Members can send customer gross margin transactions for the same account and instrument and the transactions are cumulative.

To locate the user interface window for uploading Customer Gross Margin CSV files:

1. Access Customer Gross Margin Positions in the Ovation platform.
2. In the **Customer Gross Margin Positions** window, select the **Customer Gross Margin Files** tab.
3. Select **Add Customer Gross Margin File**.

Refer to the “CSV File Upload Process Example” on page 3 for more details about uploading files.

Customer Gross Margin CSV Layout

The first record of the Customer Gross Margin CSV file is a header record. Detail records follow the header record.

The positions shown in the layout table reflect field positions, independent of whether data exists for those field entries. If no data exists, no value appears between the commas for that file position.

Header Information (Row 1)

Positions	Description
1-17	Field information for detail records. The Detail Records table lists the headings in the Field column. The header record must match the field names exactly as they appear in the Field column.

Detail Records (Starting on Row 2)

Position	Field	Data Description/Enumerations	Sample	Required
1	Business date	Business date (YYYYMMDD)	20230303	Yes
2	Clearing Member Number	Clearing member number	00991	Yes
3	Account type	Account type: <ul style="list-style-type: none"> ■ C – Customer 	C	Yes
4	Sub account	Sub account ID	ABC	Yes, if the account has a sub account ID
5	Security type	Security type: <ul style="list-style-type: none"> ■ FUT – Future ■ OPT – Option ■ OOF – Option on future 	FUT	Yes
6	Symbol	Symbol	EWA	Yes
7	Series contract date	Series/Contract Date (YYYYMMDD)	20230319	Yes
8	Option type	Option type: <ul style="list-style-type: none"> ■ Call ■ Put 	CALL	Yes, on Options and Options on Futures
9	Strike price	Strike price	100	Yes, on Options and Options on Futures
10	Customer account number	Customer account number	1000111	Yes

Position	Field	Data Description/Enumerations	Sample	Required
11	Customer account type	Customer account type: <ul style="list-style-type: none"> ■ H – Hedger ■ M – Member ■ O – Omnibus ■ S - Speculator 	M	Yes
12	LEI Number	Legal Entity Identifier (LEI) number	ABCD123456789	No
13	LEI Name	LEI name	Options Trading, LLC	No
14	CFTC Reportable Account Number	CFTC reportable account number	12345678ABC	No
15	Parent omnibus account	Parent omnibus account	OMNIACCT	No
16	Long quantity	Long quantity	40	Yes
17	Short quantity	Short quantity	0	Yes

Spread Instructions

Overview

Clearing Members can use the Ovation platform user interface to upload CSV files to add spread instructions to unsegregated long options positions for the purpose of reducing their customer account margin requirements.

Clearing Members can send spread instructions for the same account and instrument and the transactions are cumulative.

To locate the user interface window for uploading Spread Instructions CSV files:

1. Access Spread Instructions in the Ovation platform.
2. In the **Spread Instructions** window, select the **Spread Instruction Files** tab.
3. Select **Add Spread Instruction File**.

Refer to the “CSV File Upload Process Example” on page 3 for more details about uploading files.

Spread Instructions CSV Layout

The first record of the Spread Instructions CSV file is a header record. Detail records follow the header record.

The positions shown in the layout table reflect field positions, independent of whether data exists for those field entries. If no data exists, no value appears between the commas for that file position.

Header Information (Row 1)

Positions	Description
1-10	Field information for detail records. The Detail Records table lists the headings in the Field column. The header record must match the field names exactly as they appear in the Field column.

Detail Records (Starting on Row 2)

Position	Field	Data Description/Enumerations	Sample	Required
1	Business date	Business date (YYYYMMDD)	20230303	Yes
2	Clearing Member Number	Clearing member number	00991	Yes
3	Account type	Account type: ■ C – Customer	C	Yes
4	Sub account	Sub account ID	ABC	Yes, if the account has a sub account ID
5	Symbol	Symbol	EWA	Yes
6	CFI code	■ CFI code	OCXXXX	Yes
7	Series contract date	Series/Contract Date (YYYYMMDD)	20230319	Yes
8	Strike price	Option strike price	100	Yes
9	Spread quantity	Spread quantity	10	Yes
10	Reference	Free text field	Comment	No

Revision History

Edition	Date	Edition Updates
1.0	11/28/2022	Initial edition
1.1	12/15/2023	<ul style="list-style-type: none"> ■ Changed title from <i>Ovation Platform – Post Trades CSV Input Guide</i> to <i>Ovation Platform – CSV Input Guide for Clearing Members</i>. ■ Added layouts for: <ul style="list-style-type: none"> ● Member Agreements ● Average Price Group ● Spread Instructions ● Customer Gross Margin ● Collateral ■ Updated layout formatting for detail record fields: <ul style="list-style-type: none"> ● Open Up/Close Out Adjustments ● Position Transfers ● Standard Exercise Intentions ● Contrary Exercise Intentions ● Ex by Ex Quantities ● Give Ups
1.2	2/12/2024	Updated Price field position 12 in Position Transfers CSV Layout as required for CMTA and futures if the transfer type is External or Adjustment
1.3	9/10/2024	<ul style="list-style-type: none"> ■ Grouped CSV layouts according to systems and user interface functions. ■ Added instructions for locating the upload buttons in the Ovation platform user interface. ■ Added reference to CSV templates available on the Theocc.com website. ■ Standardized example clearing member numbers. ■ Removed disclaimer about finalizing CSV field names.
1.4	1/17/2025	<ul style="list-style-type: none"> ■ Added information about acceptable CSV file types. ■ In Member Agreements CSV layout, corrected formatting of Agreement Type value (Give_up) and Role for proposing CM# value (Take_up). ■ Updated instructions for locating the user interface windows for uploading CSV files for the following: <ul style="list-style-type: none"> ● Customer Gross Margin ● Spread Instructions
1.5	4/22/2026	Added information about maximum CSV file size.
1.6	6/29/2026	Added Exchange for risk indicator value (EFR) to the Position Transfers CSV layout.