

# IMPORTANT NOTICE

## National Securities Clearing Corporation



**A#:** 6708  
**P&S#** 6278  
**Date:** September 23, 2008  
**To:** All Participants  
**Attention:** Operations and Information Technology Departments  
**From:** Product Management  
**Subject:** Changes to Clearance for the NYSE/ Amex Integration

The National Securities Clearing Corporation is working in coordination with the New York Stock Exchange (NYSE) to make changes that will accommodate the integration of the American Stock Exchange (Amex) into the NYSE tentatively scheduled to be effective on processing date **December 1, 2008**. The NYSE issued two Information Memos, dated September 9, 2008, regarding the NYSE/ Amex Integration.

[http://traderupdates.nyse.com/?sa\\_campaign=/internal\\_ads/callouts/traderupdates](http://traderupdates.nyse.com/?sa_campaign=/internal_ads/callouts/traderupdates)

The following NSCC Important Notice identifies specific areas and reports where participants need to be aware of the alterations to the Clearing and Settlement aspects of post trade processing.

AutoRoute Product ID	Name	Position	Description	Change
02040290	CNS Equity Master file	12	Exchange Indicator	0 = NYSE 1 = NYSE Alternext US
		66-69	Specialist Clearing Agent	Populated with relevant NYSE Alternext US data
		70-73	Post Number	Populated with relevant new market data
020103036	NYSE Intraday MRO	105-108	Originating Market/ Trade Source	XNYS = NYSE or NYSE Alternext US
		400	Primary Listing Indicator	<b>**New field**</b> 0 = NYSE 1 = NYSE Alternext US

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<b>AutoRoute Product ID</b>	<b>Name</b>	<b>Position</b>	<b>Description</b>	<b>Change</b>
020103037	Amex Intraday MRO			Decommission file
02063127	Correspondent Clearing Intraday MRO	109-112	Last Market System	XNYS = NYSE or NYSE Alternext US
02010168	NYSE Print Image Contracts			Combines records for NYSE and NYSE Alternext US
02010092	NYSE Print Image Adjustments Contracts			Combines records for NYSE and NYSE Alternext US
02010178	Amex Print Image Contract			Decommission file
020100094	Amex Print Image Adjustments Contracts			Decommission file
02040353	Consolidated Trade Summary			Combines records for NYSE and NYSE Alternext US under NYSE
02012109	NYSE Badge File			Combines records for NYSE and NYSE Alternext US
02012170	Amex Badge File			Decommission file
02130673	Equity Commission Bill Master	55	Exchange Indicator	<i>Effective December 11, 2008</i> 0 = NYSE or NYSE Alternext US

**CNS Equity Master file** (AutoRoute Product ID # 02040290)

The “Exchange Indicator” for identifying the primary listing market of the investment security will replace Amex with the NYSE Alternext US name in position 12. Additionally, the “Specialist Number” and “Post Number” will apply the NYSE Alternext US relevant information.

**NYSE- 400 byte Intraday Machine Readable Output (MRO)**, (AutoRoute Product ID 020103036)

The NYSE 400 byte Intraday MRO will continue to reflect the “Originating Market Trade Source”, (position 105-108) as XNYS for both NYSE and add NYSE Alternext US trades. The “Primary Listing Indicator” will be added as a new field in position 400 so that the securities primary listing market can be identified.

**Amex- 400 byte Intraday Machine Readable Output (MRO)**, (AutoRoute Product ID 020103037)

The Amex 400 byte Intraday MRO will be decommissioned on December 1, 2008.

**Correspondent Clearing- 400 byte Intraday Machine Readable Output (MRO)**, (AutoRoute Product ID 020103127)

The “Last Market System” in position 109-112 will use XNYS for all NYSE and NYSE Alternext US submissions. The value known as XASE = Amex will be eliminated.

**NYSE Print Image Contracts**, (AutoRoute Product ID 02010168, 02010092)

The NYSE Print Image and Adjustments Contracts will comingle the transactions from both the NYSE and NYSE Alternext US exchanges on the same report.

**Amex Print Image Contracts**, (AutoRoute Product ID 02010178, 02010094)

The Amex Print Image and Adjustments Contracts will be decommissioned on December 1, 2008.

**Correspondent Clearing Input Format Change** (DATATRAK # 03701)

NYSE Alternext US will replace Amex for the "Exchange Indicator" submitted in position 156.

**Consolidated Trade Summary**, (AutoRoute Product ID 02040353, 02490050)

The positions applicable to the NYSE Alternext US activity will be combined with the NYSE market using the "Exchange Code" NY. The "Exchange Code" for Amex will be decommissioned at a future date.

**NYSE Badge File**, (AutoRoute Product ID 02012109)

The NYSE Badge file will contain combined, NYSE and NYSE Alternext US information.

**Amex Badge File**, (AutoRoute Product ID 02012170)

Amex Badge file will be decommissioned on December 1, 2008.

**Equity Commission Bill Service**, (AutoRoute Product ID 02130673)

All Equity Commission Bill (ECB) Amex transactions through November 30, 2008 should be submitted to the ECB Service on or before December 10, 2008 for payment on December 15, 2008. Upon close of business December 10, 2008, the Equity Commission Bill system will decommission the Amex portion of the service, recognizing only NYSE.

**NYSE Industry-wide Test**

DTCC will support the NYSE industry-wide week-end test dates for participants to submit data and monitor output, by providing NYSE 400 byte Intraday MRO, (AutoRoute Product ID 02983036) the following week. Details regarding the tests will be issued by the NYSE in an Information Memo.

In order for participants of these tests to receive data output, they must have valid network connections to the PSE Test region at DTCC and be set up for the specific test AutoRoute Product ID 02983036. To confirm that your clearing firm has the appropriate network connection and test product set up contact the DTCC Enterprise Service Center (ESC) at 888-382-2721, option 1, option 4.

For additional questions regarding this notice contact the ESC, your Relationship Manager or the undersigned at 212-855-7659.

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