

# IMPORTANT NOTICE

## National Securities Clearing Corporation



**A#:** 6743  
**P&S#** 6313  
**Date:** November 19, 2008  
**To:** All Participants  
**Attention:** Operations and Information Technology Departments  
**From:** Product Management  
**Subject:** Changes in NSCC CNS Equity Securities Master File Information

The National Securities Clearing Corporation (NSCC) continues to work with the New York Stock Exchange (NYSE) in preparation for the integration of American Stock Exchange (Amex), onto the NYSE trading platform, **effective on December 1, 2008**. Previous NSCC Important Notices identifying specific changes to each file format have been distributed as: A# 6708, dated September 23, 2008, and A# 6735, dated November 7, 2008.

This notice serves to clarify a difference between how specialist information is stated on each of the exchanges for the CNS Equity Master File, (AutoRoute Product ID # 02040290).

Historically, the NYSE and Amex used the specialist information fields differently. On the record layout below the fields have been highlighted. When NYSE Alternext listed equities begin to be processed by the NYSE post-trade applications and the introduction of the Designated Market Maker (DMM), in place of specialist. The definition for specialist information on the CNS Equity Master File will change as shown below.

Description	Position	Current Definition	New Definition Effective 12/1/2008
Exchange Indicator	12	0 = NYSE 1 = Amex 2 = OTC	0 = NYSE 1 = NYSE Alternext US 2 = OTC
Specialist Clearing Agent Trading DMM (Designated Market Maker)	66-69	If field 12 = 0 (NYSE security), Then = NSCC Commission Billing # 1 (Amex security), Then = NSCC Clearing # 2 (OTC Security), Then =	If field 12 = 0 (NYSE security), Then = NSCC Commission Billing # 1 (NYSE Alternext US), Then = NSCC Commission Billing # 2 (OTC Security), Then = Blank

Non-Confidential

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		Blank	
Specialist Number DMM Clearing Agent	70-73	If field 12 = 0 (NYSE security), Then = NSCC Clearing # 1 (Amex security), Then = Amex Specialist Unit # 2 (OTC Security), Then = Blank	If field 12 = 0 (NYSE security), Then = NSCC Clearing # 1 (NYSE Alternext US), Then = NSCC Clearing # 2 (OTC Security), Then = Blank
Post Number	74-75	If field 12 = 0 (NYSE security), Then = NYSE Specialist Post # 1 (Amex security), Then = Amex Specialist Unit # 2 (OTC Security), Then = Blank	If field 12 = 0 (NYSE security), Then = NYSE Specialist Post # 1 (NYSE Alternext US), Then = NYSE Alternext US Specialist Post # 2 (OTC Security), Then = Blank
Panel ID	76-77	If field 12 = 0 (NYSE security), Then = NYSE Panel ID 1 (Amex security), Then = Blank 2 (OTC Security), Then = Blank	If field 12 = 0 (NYSE security), Then = NYSE Panel ID 1 (NYSE Alternext US), Then = NYSE Alternext US Panel ID 2 (OTC Security), Then = Blank

### EXAMPLE:

Novagold resources Inc., CUSIP # 66987E206, Symbol = NG is a Primary listing of the Amex, with the following specialist information

### CURRENT

Security Symbol	Specialist Clearing Agent	Specialist Number	Post Number	Panel ID.
<i>Position #</i>	<i>66-69</i>	<i>70-73</i>	<i>74-75</i>	<i>76-77</i>
NG	0501	0987	45	(blank)

### 12/1/2008 & FUTURE

Exchange	Security Symbol	Trading DMM	DMM Clearing Agent	Post Number	Panel ID
	<i>Position #</i>	<i>66-69</i>	<i>70-73</i>	<i>74-75</i>	<i>76-77</i>
NYSE Alternext US	NG	1695	0501	2	A

Below is the complete CNS Equity Master File format layout.

<b>CNS EQUITY MASTER FILE</b>					<b>Detail Effective 12/1/2008</b>
<b>AUTOROUTE ID - 02040290 - Original &amp; Y2k Format</b>					<b>Record Length 80</b>
<b>Description</b>	<b>Length</b>	<b>Start</b>	<b>End</b>	<b>Type</b>	<b>Comments</b>
CUSIP	9	1	9	A/N	S & P Assigned
When Issued Indicator	1	10	10	A/N	0 = Regular Way 1 = When-Issued
Foreign Indicator	1	11	11	A/N	0 = Domestic 1 = Foreign
Exchange Indicator	1	12	12	A/N	0 = NYSE 1 = NYSE Alternext US 2 = OTC
Security Symbol	15	13	27	A/N	Security Symbol, Left-Justified
CNS Indicator	1	28	28	A/N	0 = Non-CNS 1 = CNS Eligible 2 = Suspended
DTC Eligibility	1	29	29	A/N	0 = Non-DTC 1 = DTC Eligible 2 = Suspended
Special Trade Indicator	1	30	30	A/N	0 = No Special Trade 1 = Foreign 2 = Regional 3 = NSCC
Security Description	35	31	65	A/N	Security Name, Left-Justified
Trading DMM (Designated Market Maker)	4	66	69	A/N	If Field 12 = 0 (NYSE Security), Then = NSCC Commission Billing # 1 (NYSE Alternext US Security), Then = NSCC Commission Billing # 2 (OTC Security), Then = Blank
DMM Clearing Agent	4	70	73	A/N	If Field 12 = 0 (NYSE Security), Then = NSCC Clearing # 1 (NYSE Alternext US Security), Then = NSCC Clearing # 2 (OTC Security), Then = Blank
Post Number	2	74	75	A/N	If Field 12 = 0 (NYSE Security), Then = NYSE Specialist Post # 1 (NYSE Alternext US Security), Then = NYSE Alternext US Specialist Post # 2 (OTC Security), Then = Blank
Panel ID	2	76	77	A/N	If Field 12 = 0 (NYSE Security), Then = NYSE Panel ID 1 (NYSE Alternext US Security), Then = NYSE Alternext US Panel ID 2 (OTC Security), Then = Blank

Unit Of Trade	1	78	78	A/N	0 = 1-Share Round-Lot 1 = 10-Share Round-Lot 2 = 25-Share Round-Lot 3 = 50-Share Round-Lot 4 = 100-Share Round-Lot 5 = 1000-Share Round-Lot
Future Use	2	79	80	A/N	Spaces

For further clarification or additional questions, please contact the undersigned at (212) 855-7659.

Janice DiTore  
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