

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6900
P&S# 6470
Date: November 11, 2009
To: ALL PARTICIPANTS
Attention: MANAGING PARTNER/OFFICER, OPERATIONS
PARTNER/OFFICER, COMPLIANCE OFFICER
From: PRODUCT MANAGEMENT
Subject: CHANGES TO NSCC CLEARANCE FOR NYSE AMEX TRADING NASDAQ
SECURITIES – INDUSTRY TESTING

As previously announced on NSCC Important Notice A#6882, P&S #6452 dated October 1, 2009, the New York Stock Exchange (NYSE) Amex plans to allow trading in NASDAQ-listed equities and select ETFs on an Unlisted Trading Privilege (UTP) basis. In support of these changes, DTCC has modified its NYSE post trade processing and reporting.

Please refer to the links below to access the NYSE Information Memos issued on September 8, 2009 and November 4, 2009.

http://traderupdates.nyse.com/2009/09/nyse_amex_plans_to_trade.html

http://traderupdates.nyse.com/2009/11/nyse_amex_trading_of_nasdaq_sy.html

Participant Testing

DTCC has made an example file (AutoRoute Product ID 02993036) available to participants in DTCC PSE test region. This test file contains transactions for NASDAQ UTP securities traded on NYSE Amex and includes the additional value (2 = OTC) added in the primary market field (position 400).

Additionally, DTCC will be supporting industry testing made available on the following Saturdays:

<u>Test Date</u>	<u>Test Output Available</u>
November 21, 2009	November 23, 2009
December 12, 2009	December 14, 2009
January 9, 2010	January 11, 2010

All trade data submitted within the parameters defined in the NYSE Information Memo will be reported on NSCC's NYSE contract output on the following Monday after each Saturday test. The following contract output will report these test transactions:

DTCC is now offering enhanced access to all important notices via a new, Web-based subscription service. The new notification system leverages RSS Newsfeeds, providing significant benefits including real-time updates and customizable delivery. To learn more and to set up your own DTCC RSS alerts, visit http://www.dtcc.com/subscription_form.php.

DTCC Contract Output	Test Autoroute Products
NYSE Machine Readable Output (MRO)	02983036

In order for participants to receive the test output, they must have a valid network connection to the PSE Test region at DTCC and be set up for the specific test AutoRoute Product ID 02983036. To confirm that your firm has the appropriate network connection and test product set up contact the DTCC Enterprise Service Center (ESC) at 888-382-2721, option 5, option 1.

For additional questions regarding this notice contact the ESC, your DTCC Relationship Manager or the undersigned at 212-855-5667

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