

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6932
P&S# 6502
Date: January 11, 2010
To: ALL PARTICIPANTS
Attention: MANAGING PARTNER/OFFICER, OPERATIONS
PARTNER/OFFICER, COMPLIANCE OFFICER
From: PRODUCT MANAGEMENT
Subject: CHANGES TO NSCC CLEARANCE FOR NYSE AMEX – SPLIT REPORTING OF
NYSE & NYSE AMEX

The National Securities Clearing Corporation (NSCC) is working in coordination with the New York Stock Exchange (NYSE) to make changes that will report trade data separately for NYSE and NYSE Amex Self Regulatory Organizations (SRO). NSCC will read the SRO indicator on the trade input record received from NYSE to separate NYSE and NYSE Amex. The effective data for these changes is expected to be in Q2 2010.

NYSE- 400 byte Intraday Machine Readable Output (MRO), (AutoRoute Product ID 02013036).
NSCC will add an additional value to The “Originating Market/Trade Source” data field (position 105-108) so it can report the correct trade source of transactions.

AutoRoute Product ID	Name	Position	Description	Change
02013036	NYSE Intraday MRO	105-108	Originating Market/ trade source	XNYS = NYSE XASE = NYSE Amex

Consolidated Net Settlement Trade Summary (MRO), AutoRoute Product ID 02042354

NSCC will report XASE transactions on the CNS CTS with a value of AM = American Stock Exchange. This will be reflected in the Market Name data field (position 26-27). The AM = American Stock Exchange identifier is currently a valid value in the Market Name data field.

Participant Testing

DTCC will support participant testing by providing an example of this new value on the NYSE 400 byte Intraday test MRO, (AutoRoute Product ID 02993036) in March 2010. The test file will contain the new value of XASE using test brokers #0122 and #0123.

In order for participants to receive the test file, 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 02993036. 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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