



Member Firm Notification

November 5, 2003

ATTENTION: Chief Operations Officers, Chief Information Technology Officers, Heads of Listed Equity Trading

TO: All Members and Member Organizations, Service Bureaus, Order Management System Vendors

SUBJECT: NYSE Broker Booth Support System® (BBSS) System Changes:
Order Size up to 6.5 Million Shares
New Message Type in Support of "Makes" Processing

This memorandum is being issued to all Members, Member Firms, Service Bureaus and both Buy- and Sell-Side Order Management System Vendors that route orders to the BBSS system to announce two upcoming changes.

6.5 Million Share Orders to BBSS As of Thursday November 20, 2003, BBSS will be able to accept booth routed orders with a quantity up to 6.5 million shares, increased from the current 3.0 million share limit. This new share limit is valid for both Market Orders and Limit Orders. Firms may wish to test this capability with SIAC before sending an order to a broker. The current limit of a DOT order remains at 3.0 million shares. Any DOT order larger than 3.0 million shares will be rejected. With this change, we continue to emphasize the responsibilities of members and member firm organizations regarding mandatory system controls, see Information Memo Nos. 02-48, 92-43, 92-15, and 89-6, when electronic entry systems are used to route orders to the NYSE.

"Makes Processing" Additionally, the NYSE is currently modifying its Broker Booth Support System® (BBSS) to accept a new message, called a "Makes" message. This new message allows firms to easily add quantity to an existing booth routed order without the use of a Cancel/Replace message. This new capability provides a much more efficient and

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clean way to add quantity to a booth routed order and reduces the complexities associated with Cancel/Replace processing. To take advantage of this new capability in BBSS, all firms that currently route booth orders to BBSS will need to make a change to their order management system.

The attached specification document details the business requirements, message elements, FIX and FCS message formats and error messages related to the Makes message. Please review the specification document and contact us to discuss in further detail if necessary. In addition, the specification document can also be found at www.NYSE.com/techspecs.

This Makes message will not be valid for any order that has been sent to the Post as a DOT order and will be rejected if sent for any order at the Post.

It is anticipated that firms shall be able to send Makes messages to BBSS early Q1 2004 to coincide with the rollout of Release 12.5. Firms that have completed coding for this message type can begin testing with SIAC Member Firm Services as early as January 2004. Once testing has been completed, firms will be enabled for Makes processing.

Contacts

For general questions regarding the Makes functionality please contact Gail Romano at 212.656.2841 or Frank Candreva at 212.656.5978.

For technical questions about the new Makes message or to coordinate Testing, please contact John Micciolo at 212.383.6909 or Volanda Brown at 212.383.3072 at SIAC.

Roger Burkhardt
Chief Technology Officer