

Information Memo

11 Wall Street
New York, NY 10005

Trading Technology

November 14, 2008

TO: All Members and Member Organizations, Chief Operations Officers, Managing Partners, Operations Managers, Data Processing Managers and Technology

SUBJECT: NYSE/Amex Integration – Entering Firm Mnemonic Migration

As previously announced, on December 1, 2008, trading in Amex listed securities will be migrated to 11 Wall Street and integrated onto the NYSE trading Platform. Amex trades and quotes will be disseminated with the market center Participant ID “A” in the consolidated Market Data streams, reflecting the fact that Amex and NYSE will continue to be separate registered securities exchanges.¹

The intent of this notice is to detail for firms how their Entering Firm Mnemonics will be migrated for use on the NYSE systems and steps that firms will need to take should they have the need to route order flow for a mnemonic to a specific BBSS Agency or enable the entry of orders for a mnemonic locally in BBSS.

Entering Firm Migration:

For start of business on December 1, 2008, the NYSE will systemically (without any action required from member firms) make all current ‘Amex only’ entering firm mnemonics eligible for entry of both Round Lot and Odd Lot order in all NYSE and Amex symbols over their currently registered CMS or CCG lines providing that the mnemonics are:

- Setup on the close of business Friday, November 28, 2008 for use in CMS (via FIX or FCS) or CCG.
 - Any mnemonics configured for use on Amex’s proprietary FIX 4.4 connections will no longer be eligible for use.
- Set to clear through a valid NYSE Clearing Firm.
 - Any mnemonics set to clear through an Amex only clearing firm will not be enabled for use.

Booth Routing and Local Order Entry:

- Booth Routing – Firms wishing to route orders directly to a BBSS Booth Agency on the NYSE trading floor must first request that their mnemonics be enabled for routing to each desired destination booth Agency ID.
- Local Order Entry – Firms wishing to allow a BBSS Booth Agency to enter orders from the trading floor (that were phoned or IM’ed to the booth) on behalf of a mnemonic must request that the desired Booth Agency ID be enabled for local order entry for that specific mnemonic.

For general mnemonics questions or to enable either Booth Routing or Local Order Entry, the owner of a mnemonic must contact the NYSE Mnemonics Database Group at 212.656.5778 or at mnemonics@nyx.com.

Reference Materials:

- “NYSE Alternext U.S. (NYSE/Amex Integration) – Trading Systems Update”
<http://www.nyse.com/pdfs/AMEXTradingSystemNotice090908.pdf>
- “NYSE Alternext U.S. (NYSE/Amex Integration) – Post Trade Update”
<http://www.nyse.com/pdfs/PT148-2.pdf>
- “NYSE Alternext U.S. (NYSE/Amex Integration) – FIX Message Formatting Technical Differences”
<http://www.nyse.com/pdfs/AmexMigrationTechnicalDifferences.pdf>