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Revised

PT 0120

Date: February 8, 2006

To: OCS Users/Operations Managers and P& S Managers of Member Organizations

Subject: **Entering Firm Mnemonic required on OCS Stamp Advisory Function**

The NYSE's On-Line Comparison System's (The NYSE OCSSM) "Stamp Advisory" function is being modified to require that the user identify the "entering firm mnemonic", in addition to the account type value. This change applies to both screen and message (MQM) initiated actions. The enhancement is scheduled for implementation on **March 6, 2006**. Users should review their internal OCS Advisory processing and make the appropriate changes.

Listed below is a summary of the OCS screen changes:

Clearing Firm Uncompared/Advisory and Advisory Screens

An Advisory can be stamped, meaning that you are accepting the terms of the trade as entered by the submitter (your contra firm) and want the trade to be compared.

To stamp an advisory the user must move the cursor to the Selection Code (SC) column of the item you want to accept, key in the letter "S" and then press the "Enter" key (see sample screen on next page).

The system will then move the cursor to the Execution Time field, blanking out the field and prompting the user to place the Entering Firm value in this field. If an entering firm value is less than four characters, the user must tab over to the account type field at which time the user must enter the correct account type value (similar in fashion as today).

Once the user has entered the Entering Firm and Account Type values, the system will then display the message "Hit PF1 for Update".

Sample Screen

```

NYSE    EQUITY-SYSTEM    T-DATE          ADVISORIES      01/04/06    09:50
                                                USER-NAME: M/161 001
MAJOR-FIRM:      M      TRADE-DATE: 01 04 06    BUY/SELL: B
SYMBOL: -----  PRICE:  -----  CONTRA-FIRM: ----

LN S      B      CNTR CNTR MAJR S CA      EXEC A
NO C I DK S QUANTITY  SYMBOL      PRICE      FIRM BDGE BDGE P ND      TIME T
** *      * TRD-DATE: 01/04/06 *****TOP OF** DATA **** * * * * * ***** *
A02 S      B      2000 KFT      28.07      DOT SPEC 0662      0935
A03      B      7000 THC      7.71      DOT SPEC 0575      0946
** *      * ***** ***** *****END OF** DATA **** * * * * * ***** *

```

User enters an "S" in the SC field and cursor moves to Account Type (AT) field

```

SEL COD:  S=STAMP-ADV    K=DK-ADV    N=KNOWS      ENTER-EDIT
PF-KEYS: PF1-UPDATE PF2-SCROLL PF7-BKWD PF8-FWD PF12-MENU CLEAR-CANCEL/REFRESH

```

Once user hits Enter (or PF1) the screen shall blank out the EXEC TIME field for entry of the Entering Firm Mnemonic.

```

NYSE    EQUITY-SYSTEM    T-DATE          ADVISORIES      01/04/06    09:50
                                                USER-NAME: TEST1 001
MAJOR-FIRM:      ABC      TRADE-DATE: 01 04 06    BUY/SELL: B
SYMBOL: -----  PRICE:  -----  CONTRA-FIRM: ----

LN S      B      CNTR CNTR MAJR S CA      EXEC A
NO C I DK S QUANTITY  SYMBOL      PRICE      FIRM BDGE BDGE P ND      TIME T
** *      * TRD-DATE: 01/04/06 *****TOP OF** DATA **** * * * * * ***** *
A02 S      B      2000 KFT      28.07      DOT SPEC 9999      
A03      B      7000 THC      7.71      DOT SPEC 9999      0946
** *      * ***** ***** *****END OF** DATA **** * * * * * ***** *

```

Field blanked out for Entering Firm Mnemonic Entry on lines marked to Stamp

```

SEL COD:  S=STAMP-ADV    K=DK-ADV    N=KNOWS      ENTER-EDIT
PF-KEYS: PF1-UPDATE PF2-SCROLL PF7-BKWD PF8-FWD PF12-MENU CLEAR-CANCEL/REFRESH

```

Listed below is a summary of the OCS MQM message changes:

An MQM Advisory message can be “stamped” by submitting a "Change Advisory" message (action code 4, in position 7 of the message). In addition to all previously required fields the user must populate the "Entering Firm" field (in positions 55-58) and the "Account Type" field (in position 239) of the MQM message format. If the message does not contain the two new required values it shall be rejected back to the MQM user (with a status of E = Error in position 8 and error code = 39 in positions 9-10 "Acct Type/Entering Firm Invalid, Can't Stamp")

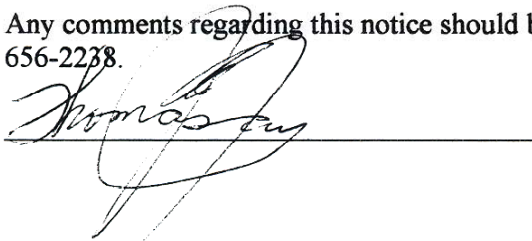
MQM users shall receive the Account Type (position 239) and Entering Firm (positions 55-58) fields on their Solicited Response messages for “stamped” transactions via MQM and on Unsolicited messages for “stamped” transactions via the OCS screen.

Testing

To schedule MQM Advisory function testing contact Stacey Haggerty at 212-383-9812 or Shalaka Palmer at 212-383-9815.

Any questions concerning this enhancement should be directed to Larry Moreno at 212-656-4648.

Any comments regarding this notice should be directed to the undersigned, Thomas Fay at (212) 656-2238.

A handwritten signature in black ink, appearing to read "Thomas Fay", is written over a horizontal line. The signature is stylized and cursive.