

**Trading Technology**

April 14, 2008



**TO:** All Members and Member Organizations/Chief Operations Officers/Managing Partners/Operations Managers/Data Processing Managers and P&S Managers of Member Organizations/Merged Order Log Users

**SUBJECT: OCS Application Migration**

**PT 143**

Effective with activity of Friday, April 18, 2008 the Shared Data Center will migrate the NYSE On-Line Comparison System (NYSE OCS®) off of the current mainframe platform to a distributed server platform. All Clearing Firms and Service Bureaus that interact with the NYSE OCS (for either the Equity Comparison product or the Step-Out Service) via MQM or OCS Screen entry are advised of this change.

Previously the SDC Client Connectivity Group has sent packets to each member firm and service bureau detailing the changes required in support of this conversion.

- Firms that have contacted the SDC and notified them to configure their existing IP addresses or new IPs to the new platform shall be automatically converted.
- Firms that have not contacted the SDC will have to update their IPs to access OCS (MQ users, OCS TN 3270 users)
- OCS Dial-up users must move to SFTI to connect to OCS

Reference Attachment 1 for the SDC instruction packet.

**OCS Screen Access:**

OCS Screen users are advised that a new set of “Log-on” screens will be displayed when you connect to the distributed platform. Please follow the instructions on the attachment to navigate to the “OCS Welcome” Screen. If you do not see the new screen, please contact the Client Connectivity Group to ensure you are pointing to the correct IP address.

**Contract Output:**

Please be advised that there may be some delay of NSCC’s NYSE intraday machine readable output (MRO) {AutoRoute Product ID # 02013036} during the initial cycle(s). An NSCC Important Notice will be issued with additional details.

### **Fallback Consideration:**

In the event of a fallback prior to the beginning of trading the OCS application will be deactivated and brought back up at a later time mimicking start-of-day (same as Friday 4/11):

- The T+1 uncomparing data from April 17th and earlier will be reflected on the OCS screens
- Firms are advised that all screen and MQM entries performed on April 18<sup>th</sup> prior to the fallback may have to be reentered by customers.
- If a user has sent MQ messages they will need to reset their sequence number to #1 before retransmitting messages or sending subsequent messages after fallback

In the event of a fallback after the beginning of trading the OCS application will be deactivated and may not be brought up for screen activity for the remainder of the day (depending on timing of fallback):

- All Compared Activity will be retained
- MQM input will continue to be accepted for both Trade Date and as-of activity
- Screen input **will not** be allowed for the remainder of the day. Firms would be instructed to perform these activities on Monday April 21.
- Intra-day contract output provided prior to fallback will remain valid.

Specific details on fallback will be communicated as needed.

Any questions regarding this notice should be sent to Larry Moreno (212-656-4648, [lmoreno@nyx.com](mailto:lmoreno@nyx.com)) or John Schwarzbeck (212-656-5462, [jschwarzbeck@nyx.com](mailto:jschwarzbeck@nyx.com)).

Questions regarding OCS testing should be sent to Rajneet Sodhbans (212-383-9484, [rsodhban@siac.com](mailto:rsodhban@siac.com)).

Questions regarding your connectivity should be sent to the Client Connectivity Group (212-383-4376, [CCG@siac.com](mailto:CCG@siac.com)).

### **Attachment** –

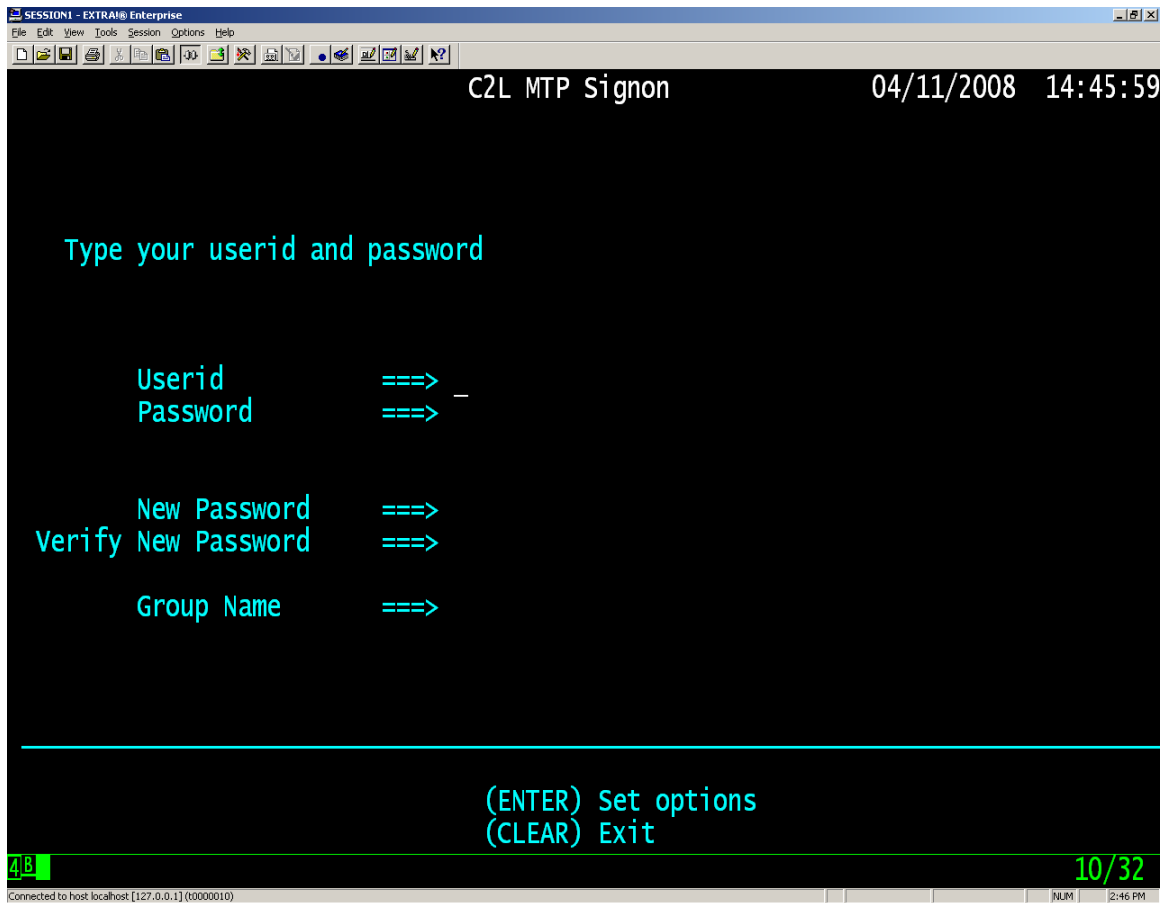
- 1) Shared Data Center C2L Packet
- 2) OCS Logon Screen Procedure

### **Attachment1 – SDC C2L Packet**



Microsoft Word  
Document

## Attachment 2 – OCS Logon Screen Procedure

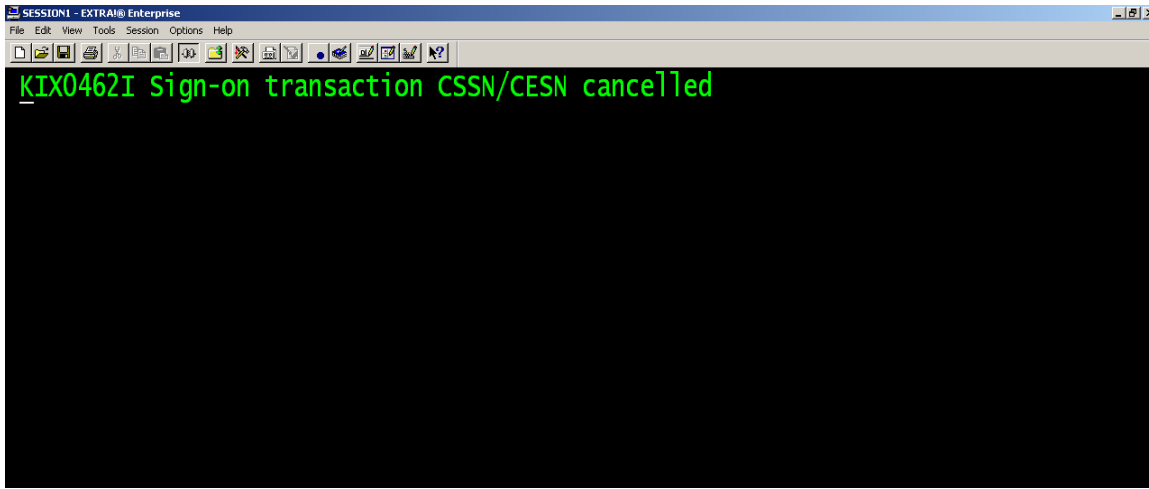


### Step 1

When you first connect to the C2L OCS environment using the TN3270 Emulator, you will see the screen above.

You do not need to enter any of the information requested on this screen.

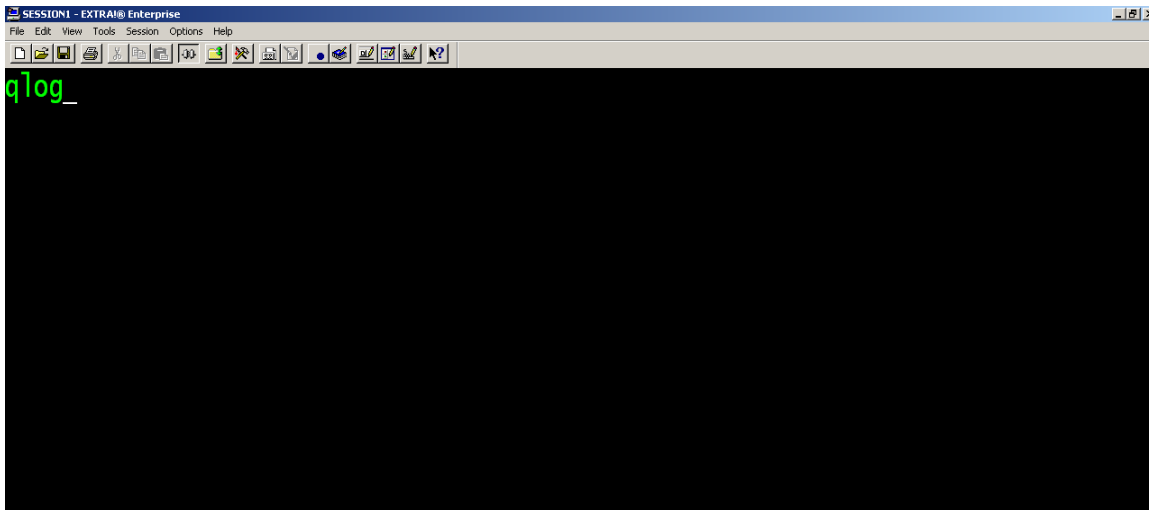
Please clear the screen by hitting the <ESC> or <PAUSE> key depending on your PC keyboard configuration.



## Step 2

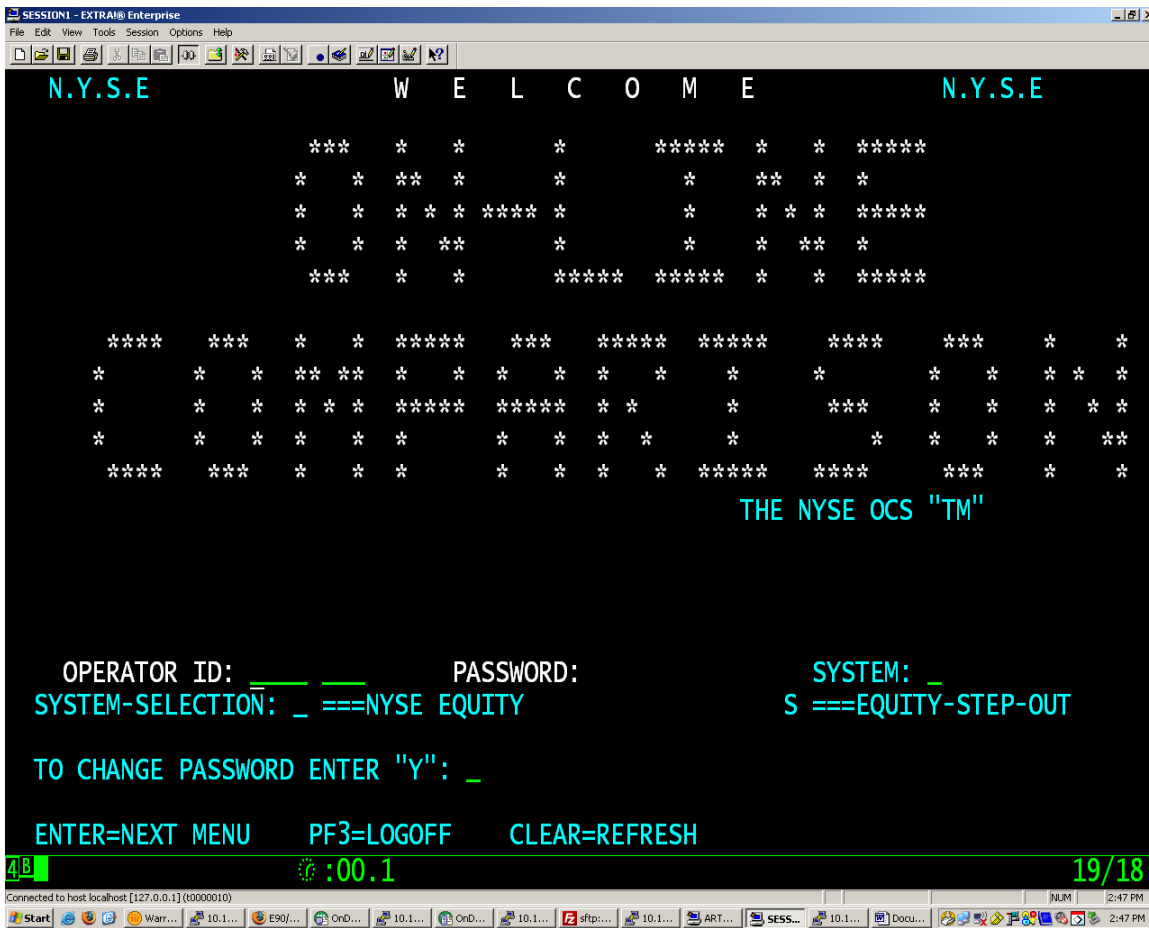
The screen above only states that the Clear command was accepted.

Please clear the screen again by pressing either the <ESC> or <PAUSE> key depending on your PC Keyboard configuration.



## Step 3

Once the screen is completely blank, type qlog to bring up the OCS sign-on screen and press <ENTER>.



**Step 4**

This is the OCS sign-on screen. Please use the same instructions you have been given to navigate the application.