

Trading Technology

September 30, 2009

REVISED

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

SUBJECT: Trading NASDAQ Symbols on NYSE Amex – Post Trade Update

PT 160

As announced in a previously issued informational circular dated September 8, 2009, subject "NYSE Amex Trading of NASDAQ-Listed Securities under UTP", the NYSE Amex plans to trade NASDAQ-listed equities and select ETFs on an Unlisted Trading Privilege (UTP) basis. NYSE Amex will announce an implementation date to commence trading in the first quarter of 2010

Similar in fashion to the NYSE Amex integration onto the NYSE Trading Platform, NASDAQ-Listed Securities trading on a UTP basis will be intermingled with NYSE and NYSE Amex listed securities in the Post Trade comparison and after hours output.

As with NYSE Amex, NASDAQ securities will be identified on selected post trade output with a new value in the Primary Market Indicator field. Member Firms are being advised in advance so that they can prepare for this change. Listed below is a summary of the change.

OCS Output:

The NYSE On-line Comparison System's (NYSE OCS®), OCS Uncompared/Advisory file and Stepout product Unaffirmed/Alert file will contain the new value of "2" to denote a NASDAQ listed security.

Output	Product ID	Field Name	Position	Value
OCS Unc/Adv File	06010984	Primary Market	400	0 = NYSE 1 = NYSE Amex 2 = NYSE Amex NASDAQ UTP (new)
SOS Unf/Alert File	06010983	Primary Market	400	0 = NYSE 1 = NYSE Amex 2 = NYSE Amex NASDAQ UTP (new)

NSCC Output:

NSCC will issue a companion circular highlighting their changes to the NYSE Listed Contract Output and how to identify NASDAQ symbols on the CNS Equity Masterfile.

MOL Output:

The Merged Order Log file will contain a new value of "2" in the Primary Market Indicator field to denote a NASDAQ-listed security on Order Records (Message Type 1A-1C).

Output	Product ID	Field Name	Field/Position	Values
Merged Order Log Output	06010176 (Agency MRO) 06201029 (Badge MRO) 06220174 (Entering Firm MRO) 06220143 (Clearing Firm MRO)	Primary Market	145	0 = NYSE 1 = NYSE Amex 2 = NYSE Amex NASDAQ UTP (new)

Reference:

NYSE Trader Update September 8, 2009

http://traderupdates.nyse.com/2009/09/nyse_amex_plans_to_trade.html

Technology Info Memo - NYSE Amex Trading of NASDAQ-Listed Securities under UTP

http://www.nyse.com/pdfs/NYSETradingTechnology_NASDAQ_UTP_20090908.pdf

Any questions regarding the trading of NASDAQ symbols should be forwarded to your Relationship Manager or Bob Airo (212) 656-5633.

Any questions regarding Post Trade should be forwarded to John Schwarzbeck (212) 656-5462 or Larry Moreno (212) 656-4648