



**Trading Technology**  
**11 Wall Street**  
**New York, NY 10005**  
November 12, 2009

Trading Technology Information Circular

**TO:** Members and Member Organizations

PLEASE ROUTE TO: Chief Operations Officers/Managing Partners/Operations Managers/Data Processing Managers and P&S Managers of Member Organizations/MOL Users

**SUBJECT:** New “Done for Day” Admin on MOL

**PT 163**

As announced in a Trading Technology Informational Memo dated November 11<sup>th</sup>, 2009, subject “Automatic Cancellation of Partially Executed/Canceled GTC Orders and Done for Day Subscription Service Update,” the NYSE will introduce a new subscription service on a Firm mnemonic basis that will return an unsolicited end of day “UROUT” message for all unexecuted Day orders sent to SDBK. The SDBK system will automatically generate a “Done for Day” UROUT message to subscribing firms at the symbol’s designated cutoff time.

In support of the initiative, the Merged Order Log Output will be enhanced to include a new administrative message sub-type reason code of “Done for Day” on administrative response records (message type 3A). This new reason code will be present when a firm subscribes to the new “Done for Day” subscription service.

**Affected File and Print Outputs:**

| <b>MOL Version</b> | <b>MRO Product ID</b> | <b>Print-Image Product ID</b> |
|--------------------|-----------------------|-------------------------------|
| Entering Firm      | 06220174              | 06222466                      |
| Clearing Firm      | 06220143              | 06010641                      |
| Broker Badge       | 06201029              | 06201028                      |
| Agency             | 06010176              | 06010166                      |

**Format Change:**

The changes to the MOL format are:

Admin Type (position 74) will have a value of "1" (UROUT)

Admin SubType (position 75) will have a value of "1" (Done for Day)

| Field Name                  | Position Start-End | Format (length) | Field Value   |
|-----------------------------|--------------------|-----------------|---|
| ADMIN TYPE<br>TAG 58 (TEXT) | 74-74              | X(1)            | 1 = UR OUT<br>2 = TLTC (Too Late to Cancel)<br>6 = ND (nothing done, with optional shares ahead)<br>9 = DELETE<br>A = AUTO CXL<br>C = HELD PENDING PRICE CONFIRM<br>E = e-Broker<br>L = Part of e-Quote/ Removed from e-Quote |
| ADMIN SUBTYPE               | 75-75              | X(1)            | <b>For ADMIN TYPE 1</b><br><b>1 = Done for Day</b>  |

Please Note: Admin SubType = 1 was formerly used to indicate "UROUT Times Out." This usage is now obsolete, and is being replaced with "Done for Day."

The changes to the print images are:

The Member Firm Log Print Image will have "DONE4DAY" in the Report Link column.

The Badge Log Print Image will display the literal "DONE4DAY" in the Admin Response column.

The Agency Log Print Image will display the literal "DONE4DAY" in the Admin Response column.

Please see print examples in attachment at the end of this notice.

Questions concerning this Notice or MOL should be directed to John Schwarzbeck at [jschwarzbeck@nyx.com](mailto:jschwarzbeck@nyx.com) or (212) 656-5462, Adina Solomon at [asolomon@nyx.com](mailto:asolomon@nyx.com) or (212) 656-2148, or Larry Moreno at [lmoreno@nyx.com](mailto:lmoreno@nyx.com) or (212) 656-4648.

**Attachment:**

Member Firm Log Print Image

Badge Log Print Image

Agency Log Print Image

**Reference Materials:**

Trader Alert Notice

[http://traderupdates.nyse.com/2009/11/automatic\\_cancelation\\_of\\_parti.html](http://traderupdates.nyse.com/2009/11/automatic_cancelation_of_parti.html)

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0

#####  
FIRM # ABC # CLEARING NUMBER # 123 # "MEMBER FIRM LOG"  
#####

| ORDER DATA |        |    |     |       |         |     |   |   |   | REPORT DATA |        |   |       |      |           |        |        |        |        |        |       |    |     |       |     |      |  |
|------------|--------|----|-----|-------|---------|-----|---|---|---|-------------|--------|---|-------|------|-----------|--------|--------|--------|--------|--------|-------|----|-----|-------|-----|------|--|
| STOCK      | +      | =  | SAX | CX    | SELL    | O   | S | T | C | T           | A      | B | O     | D    | REPORT    | REPORT | REPORT | GIVE   | CONTRA | (PRIN) |       |    |     |       |     |      |  |
| SYMBOL #   | =      | DB | ORD | ORDER | SHRT    | T   | O | I | D | L           | T      | C | ORDER | T    | T         | M      | U      | REPORT | REPORT | REPORT | GIVE  |    |     |       |     |      |  |
| BR/SEQ     | TA#    | DP | INS | QTY   | PRICE   | IND | C | I | F | N           | R      | S | C     | TIME | H         | C      | N      | P      | TIME   | LINK   | PRICE | UP | QTY | BADGE | LVS | BRKR |  |
| ABC        |        |    |     |       |         |     |   |   |   |             |        |   |       |      |           |        |        |        |        |        |       |    |     |       |     |      |  |
| ABC1234    | 25I31L | H  | SH  | 200   | 35.3200 | 3   | O |   |   | A           | 160853 |   |       |      |           |        |        |        |        |        |       |    |     |       |     |      |  |
|            |        |    |     |       |         |     |   |   |   |             |        |   |       |      | --ADMIN-- | 161028 |        |        |        |        |       |    |     |       |     |      |  |
| DEF        |        |    |     |       |         |     |   |   |   |             |        |   |       |      |           |        |        |        |        |        |       |    |     |       |     |      |  |
| ABC2345    | 12S4ER | H  | SH  | 200   | 8.4400  | 3   | O |   |   | A           | 160806 |   |       |      |           |        |        |        |        |        |       |    |     |       |     |      |  |
|            |        |    |     |       |         |     |   |   |   |             |        |   |       |      | --ADMIN-- | 161042 |        |        |        |        |       |    |     |       |     |      |  |
| ABC3456    | 12S4ES | H  | B   | 200   | 6.4300  |     | O |   |   | A           | 160806 |   |       |      |           |        |        |        |        |        |       |    |     |       |     |      |  |
|            |        |    |     |       |         |     |   |   |   |             |        |   |       |      | --ADMIN-- | 161042 |        |        |        |        |       |    |     |       |     |      |  |

END OF MERGED ORDER/REPORT DETAIL FOR THIS MEMBER FIRM.  
TOTAL OF 0 ENTRIES FOR THIS FIRM.

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0

1062 h1BADGE: 1062

N.Y.S.E. BADGE LOG

TRADE DATE:

09/01/2009

1062 i FIRM: ABC CLEARING NUMBER: 123

AUTOROUTE # 06201028

PAGE

1

1062 j

1062 k

1062 l SYMBOL BR-SEQ# TA-NUM

1062

m+

1062 n ABC ABC1234 25I2ZX

1062 o

ORD-ID ORD  
TYPE INS SRC

QTY

PRICE DP

| ---CONTRA INFORMATION--- |      |      |        |   |   |          |     |     |   | P   | TIME OR | RPT   | T     |     |    |      |      |       |          |      |
|--------------------------|------|------|--------|---|---|----------|-----|-----|---|-----|---------|-------|-------|-----|----|------|------|-------|----------|------|
| WRITEIN                  |      |      |        |   |   |          |     |     |   | R   | T       | PRIOR | LNKID | T   | A  | ORG  | DST  | BILL  | INTR     | EXEC |
| FIRM                     | BDGE | TIME | LEAVES | N | C | ORD.DATE | SOI | TIF | N | CLR | S       | T     | BTH   | BTH | TO | BRKR | BRKR | ADMIN | RESPONSE |      |

35.31 NX

\*091009\*

OPG

A

AAA

DONE4DAY

AAA 1 BBSS AGENCY: AAA  
 09/01/2009

N.Y.S.E. BBSS AGENCY ID LOG

TRADE DATE:

AAA FIRM: ABC CLEARING NUMBER: 123

AUTOROUTE # 06010166

PAGE

2  
 AAA  
 AAA ORD  
 AAA SYMBO L BR-SEQ# TA-NU M TYPE INS SRC QTY PRICE DP FIRM BDGE TIME LEAVES N C ORD.DATE SOI TIF N CLR S T BTH BTH TO BRKR BRKR ADMIN RESPONSE  
 AAA  
 +

| AAA | SYMBOL | BR-SEQ# | TA-NU M | TYPE | INS | SRC | QTY | PRICE | DP | FIRM | BDGE | TIME | LEAVES | N | C | ORD.DATE | SOI | TIF | N | CLR | S | T | BTH | BTH | TO | BRKR | BRKR | ADMIN | RESPONSE |          |
|-----|--------|---------|---------|------|-----|-----|-----|-------|----|------|------|------|--------|---|---|----------|-----|-----|---|-----|---|---|-----|-----|----|------|------|-------|----------|----------|
| AAA | ABC    | ABC1234 | 25I31L  | SSHT | CCG |     | 200 | 35.32 | NX |      |      |      |        |   |   | *091009* |     |     |   |     |   | A |     |     |    |      |      |       |          |          |
| AAA |        |         |         | ADM  | CCG |     | 200 |       |    |      |      |      |        |   |   | 091028   |     |     |   |     |   |   |     |     |    |      |      |       |          | DONE4DAY |
| AAA | 0DEF   | ABC2345 | 12S4ES  | BUY  | CCG |     | 200 | 6.43  | NX |      |      |      |        |   |   | *091009* |     |     |   |     |   | A |     |     |    |      |      |       |          |          |
| AAA |        |         |         | ADM  | CCG |     | 200 |       |    |      |      |      |        |   |   | 091042   |     |     |   |     |   |   |     |     |    |      |      |       |          | DONE4DAY |
| AAA | 0DEF   | ABC3456 | 12S4ER  | SSHT | CCG |     | 200 | 8.44  | NX |      |      |      |        |   |   | *091009* |     |     |   |     |   | A |     |     |    |      |      |       |          |          |
| AAA |        |         |         | ADM  | CCG |     | 200 |       |    |      |      |      |        |   |   | 091042   |     |     |   |     |   |   |     |     |    |      |      |       |          | DONE4DAY |

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 AAA AGENCY ID AAA TOTALS: 4 ORDERS + 0 REPORTS + 4 ADMIN = 8 TRANSACTIONS