

Information Memo



11 Wall Street
New York, NY 10005

NYSE Operations

June 30, 2011

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

SUBJECT: Sending Firm MPID on MOL Output

PT 176

In support of future OATS compliance, the Merged Order Log Output is being enhanced to provide the order Sending Firm's Market Participant Identification (MPID) when submitted to the NYSE Broker Systems. This change is targeted for implementation in the October time frame, an exact date will be announced in a subsequent circular. Listed below is a summary of the change:

Merged Order Log File Enhancement

Product IDs 06220527, 06220564, 06200574 and 06010578

Filler space in positions 226-229 has been redefined on the 1A and 1B Order Records to disseminate the Sending Firm's MPID contained on the Order event submitted to CCG or entered locally into BBSS.

Field Name	Position Start-End	Format (Length)	Field Value
SENDER MPID	226-229	X(4)	MPID of Firm sending Order to NYSE Broker System

A revised copy of the MOL format is available on the NYSE website at the following link:

http://www.nyse.com/pdfs/SAHMRO_Formats_v4.0c.pdf

Badge and Agency Print-image Enhancement (Product IDs 06201028 & 06010166):

The column heading literal "INTR BBKR" (introducing broker) will be change to "MPID BDGE" (Sender MPID or introducing badge) on both the Badge and Agency versions of the MOL.

- For Order events the sender's MPID will be reflected under this column if populated
- For DOT Orders sent from a Broker hand-held device the broker's badge will be reflected

Reference Material

For customers who route orders directly to the NYSE Broker Systems the inclusion of sender's MPID will be required. For specific details please reference NYSE circular dated June 7, 2011

Subject: "CCG Support for Market Participant ID (MPID) for Broker OATS Reporting".

CCG Notice: http://www.nyse.com/pdfs/MPID_Broker_OATS_Submission_Notice.pdf

Any questions regarding the CCG changes reference above should be directed to Bob Airo rairo@nyx.com or (212) 656-65536.

Any questions concerning the MOL changes referenced in this notice should be directed to Larry Moreno at lmoreno@nyx.com or (212) 656-4648.