

OSI Scripted Industry Testing

NYSE Arca and NYSE Amex will be participating in the industry-wide testing for OSI preparedness. Scripted industry testing will occur on a schedule determined with OCC; please see below. Prior to the beginning of that testing, NYSE Arca and NYSE Amex will provide opportunities for OTP holders to certify their order entry and back office systems for OSI compliance. **All firms are strongly encouraged to certify with the exchanges prior to the beginning of scripted industry testing.**

NYSE Arca's and NYSE Amex's participation in the scripted industry testing will include the following:

- The actual test date (Saturday) will be used as the trade date.
- Customers will connect to the certification environment for the test.
- Trades executed during the test will be delivered to OCC for processing and subsequent adjustments by clearing firms.
- Quotes will be delivered to OPRA.
- There will be sufficient liquidity in identified symbols to provide executions.

The OCC has provided the following information:

Calendar Date	Trade Date / Activity Date	Clearing Member Activities	OCC Outputs	Notes
Sat, 10/10	Saturday, 10/10	Exchange Order Entry Submit Post Trades ^[1] (ENCORE) ** Review/Process batch DDS for 10/10 Reconcile activity and positions	Batch DDS for 10/10	
Mon, 10/12	Friday, 10/09	OCC replay of trades from Sat, 10/10 with adjusted trade date ^[2] Submit Post Trades (ENCORE)	N/A	Open interest restored to starting point
Tues, 10/13		Review/Process batch DDS for 10/09 Reconcile activity and positions	Batch DDS for 10/09	
Wed, 10/14	Expiration Friday, 10/16	Submit Post Trades, including EED/DNEDs (ENCORE)	N/A	Open interest rolled from 10/09 activity date
Thur, 10/15		Review/Process batch DDS for 10/16 Reconcile activity and positions	Batch DDS for 10/16	

^[1] Post trade transactions should be executed intra-firm across accounts or against designated OCC test membership numbers.

^[2] Please note that Clearing Members will need to participate on Saturday with the exchanges in order to have trades available for OCC replay.

Calendar Date	Trade Date / Activity Date	Clearing Member Activities	OCC Outputs	Notes
Fri, 10/16 Sat, 10/17		Continue back office processing as necessary	N/A	
Mon, 10/19	Expiration Saturday, 10/17	Submit Post Trades, including Ex by Ex (ENCORE) and Authorization of Accounts.	N/A	
Tues, 10/20				
Wed, 10/21		Review/Process batch DDS for 10/17 Reconcile activity and positions	Batch DDS for 10/17	

Calendar Date	Trade Date / Activity Date	Clearing Member Activities	OCC Outputs	Notes
Friday, 11/06	TBD	N/A	Batch DDS	Results of Consolidation
Sat, 11/14	Saturday, 11/14	Exchange Order Entry Submit Post Trades ^[3] (ENCORE) ** Review/Process batch DDS for 11/14 Reconcile activity and positions	Batch DDS for 11/14	
Mon, 11/16	Friday, 11/13	OCC replay of trades from Sat, 11/14 with adjusted trade date ^[4] Submit Post Trades (ENCORE)	N/A	Open interest restored to starting point
Tues, 11/17		Review/Process batch DDS for 11/13 Reconcile activity and positions	Batch DDS for 11/13	
Wed, 11/18	Expiration Friday, 11/20	Submit Post Trades, including EED/DNEDs (ENCORE)	N/A	Open interest rolled from 11/13 activity date
Thur, 11/19		Review/Process batch DDS for 11/20	Batch DDS for 11/20	
Fri, 11/20 Sat, 11/21		Reconcile activity and positions	N/A	
Mon, 11/23	Expiration Saturday, 11/21	Submit Post Trades, including Ex by Ex (ENCORE) including	N/A	

^[3] Post trade transactions should be executed intra-firm across accounts or against designated OCC test membership numbers.

^[4] Please note that Clearing Members will need to participate on Saturday with the exchanges in order to have trades available for OCC replay.

Calendar Date	Trade Date / Activity Date	Clearing Member Activities	OCC Outputs	Notes
Tues, 11/24		Authorizing Accounts		
Wed, 11/25		Review/Process batch DDS for 11/21 Reconcile activity and positions	Batch DDS for 11/21	

All self clearing members should test on these days.

For non-clearing members, participation is encouraged as well. Please contact your options clearing agent for further details and coordination.

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