NYSE

The NYSE OCS®
(The NYSE On-Line Comparison System)

NYSE Broker's User Guide

July 2005

Document History

Date	Modifications
July 2005	Screen Changes • To facilitate the addition of a new field as well as minor cosmetic changes shall be made to other fields located on the OCS Screens. • A new field "Report Link Identifier" shall be added to each of the OCS Screens (Add, Compared, Delete, and uncompared, etc.) • For further information, Reference Material: - Post Trade Notice (PT111) Dated: July 1, 2005 - Post Trade Notice (PT113) Dated: August 1, 2005

General Overview

This document is intended to show the basic functionality provided in the Broker Browse section of the On-Line Comparison System (OCS). This portion of the system is designed to provide access for brokers to view the status of their comparison activity. The broker portion of the system provides brokers with the functionality to browse all comparison activity, including Trade Date and As-Of Compared and Uncompared trades, where they are one of the executing brokers (buyer or seller). The system does not provide any capabilities to change or edit those trades.

Table of Contents

Accessing OCS

To access OCS, you must enter your assigned, unique Operator ID and Password. The Operator ID is a 7-digit number of which the first 4 digits are the operator's badge number and the last 3 digits are a unique number (any value between 001 and 999). The Password may contain alpha characters, numeric characters or both and must be at least 6 characters long, but no longer than 8 characters.

When you enter the logon screen (Figure 1) the cursor will be located in the Operator ID field, ready for you to key in your assigned Operator ID. Once you enter your seven-digit Operator ID the cursor will automatically move to the Password field ready for you to key in your Password (note: for security purposes, as you key in your password, the characters will not be displayed on the screen).

Once you have entered your Operator ID and Password, you can then specify which system you would like to access. If you are a NYSE broker, simply leave the field blank and the system will default to NYSE Equity. If you are an AMEX Broker, you must enter "A" in the "System" field.

Additionally, if you would like to change your password, you can press the "Tab" key to move into the Change Password field and key in "Y". See the Password Changes section.

Once you have keyed in your Operator ID, Password and System selection, press the "Enter" key.
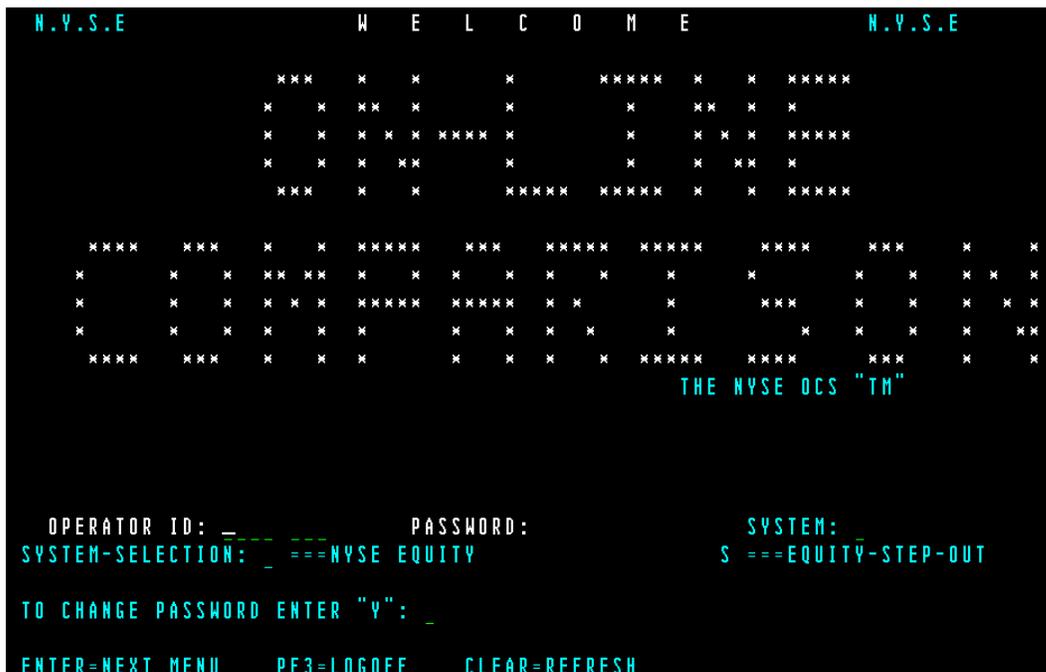
(Figure 1: Logon Screen)

The system will then validate your login (Operator ID and Password combination):

- If the Operator ID you entered is incorrect, the system will display the message "Your Operator ID Not Found - Please Reenter". The system will then highlight the field to be corrected and move the cursor to the Operator ID field.

- If the Password you entered is incorrect, the system will display the message "Your Password Not Found – Please Reenter". The system will then move the cursor to the Password field.

- If your Operator ID is not eligible to access the System you selected, the system will display the message "System Selected Not Available To Oper". The system will then highlight the field to be corrected and move the cursor to the System field.

- If the Operator ID and Password combination is valid, then the system will allow you access to OCS and advance you to the Selection Menu (Figure 2)

- Should you happen to incorrectly enter your Password three consecutive times, for security purposes, your Operator ID and Password will be locked out and you will be unable to access the system. If this does occur, you must contact NYSE Operations at (212) 656-5513, located in the Questioned Trade (QT) Room of 11 Wall St, B1. NYSE Operations will then issue you a new, valid password.

Password Changes

Once the system has validated your Operator ID and Password, if you have entered a "Y" in the "To Change Password Field", you will be prompted to enter a new password. The following message will be displayed in the middle of the Logon Screen:

> Type New Password:
> Type New Password Again for Verification:

The cursor will be in the "Type New Password" field where you must enter a new password of alpha characters, numeric characters or both and must be at least 6 characters long, but no longer than 8 characters. Note that for security purposes, as you key in your password, the characters will not be displayed on the screen. Once you have entered your new password in the "Type New Password" field, you must move to the "Type New Password Again for Verification" and reenter the same, new password again. Once you have reentered your new password, press the "PF1" key and the system will validate your new password. If you have entered the "Change Password" field and then decide you no longer wish to change your password, press the "Clear/Refresh" or "Pause/Break" key.

If you have correctly entered and reentered your new password, the message "Password Was Modified Successfully" will appear at the bottom of the screen. Once this message appears, simply press the "Enter" button and the system will advance to the Selection Menu of OCS. If you incorrectly reentered your new password, the message "Password Verification Failed, Reenter" will appear at the bottom of the screen. If this should happen, you must reenter your new password a second time or press clear and repeat the entire logon process again.

Password Expiration

Your OCS password has a life span of one (1) calendar year (365 days), after which, it will expire. Nine (9) days before your password is scheduled to expire, the system will display the message "Please Change Your Password, Will Expire MM/DD/YY". This message will appear each day until your password is changed or the expiration date is reached. Failure to change your password by the expiration date will result in the deactivation of your password. In the event that your password does expire, you must contact NYSE Operations at (212) 656-5513, located in the Questioned Trade (QT) Room of 11 Wall St, B1. NYSE Operations will then issue you a new, valid password.

Function Keys

There are several functions built within OCS that require the use of the function keys and are referred to in OCS as PF keys. On each OCS screen, any PF functions that are available for use will be listed on the bottom of the screen. The PF keys available in OCS for Broker access are as follows:

Function Key	Function Name	Description
PF1	Password Refresh	Used when changing your password to confirm the new password you have entered and reentered
PF2	Scroll Left or Right	Used to scroll when there is additional information to the right or left of the current screen
PF7	Scroll Backward	Used to scroll when there is additional information above the current screen
PF8	Scroll Forward	Used to scroll when there is additional information below the current screen
PF12	Menu	Will bring you back to the Selection Menu screen
Enter	Selection	Will put the current information you have entered into the system (i.e., press enter key after you have keyed in your Operator ID and Password)
Break/Clear	Refresh screen	Will update the data on the screen with current information

Error Messages

Should any action you take not be recognized by the system, or the system requires additional information, an error message will appear at the bottom of the screen (above the list of available PF functions). This message will give a description of the error and will typically provide an action to correct the error (i.e., 'Invalid B/S Indicator - Key In Side And/Or Symbol').

Selection Menu

The Selection Menu (Figure 2) will show you a list of the functions that you are allowed to access. The top left of the Selection Menu will tell you which system you have accessed (e.g. NYSE Equity). When you enter this screen, the cursor will be located in the "Select a Function Above" field. You will be required to enter one of the 4 functions available:

1. Browse Uncompared/Advisory – Displays all the uncompared and advisory records that contain your badge number as a Major or Contra. No actions can be taken on this screen

2. Browse Compared – Displays all compared trades resolved through OCS that contain your badge number as a Major or Contra. No actions can be taken on this screen

3. Debit List – Allows entry of debit information into OCS (Note: Debit functionality is only available during certain periods of the month)

4. X. Exit – Will return you to the main On-Line Comparison Logon screen

(Figure 2: Selection Menu)

Once you have entered the desired function, the cursor will move to the "Select Access-Code" field. In this field you must specify the type of data you wish to access (T=Trade Date or A=As-Of). Then press the "Enter" key.

Selection Heading Fields

All screens will have the following heading selection fields, some of which can be used to refine what comparison information is displayed:

Field Name	Description
BRKR-Badge	Displays your Broker Badge number. This field is hard coded and cannot be changed.
Trade Date	As-Of – Any valid date (MM DD YY) prior to Trade Date. If no date is entered, oldest trade data will be displayed first. Trade Date – Hard coded to current trade date and cannot be changed.
Buy / Sell	Buy or Sell side (B = Buy, S = Sell).
Symbol	NYSE listed security symbol.
Give-Up Firm	The clearing firm that you gave up.
Contra-Badge	The badge of the broker/specialist whom you traded with.

Uncompared/Advisory Data

Once you have chosen to "Browse Uncompared/Advisory information" data, either Trade Date or As-Of, you will be able to view any issued advisories or uncompared comparison activity. Uncompared data will consist of trades where you have submitted your trade information, but either the contra side of the trade has not or the system has been unable to match the two sides. An advisory will consist of trades where a clearing firm on the contra side has submitted a trade with your badge number, but your clearing firm has not.

Each trade entry will be displayed with the following information:

Field Name	Description
U/A	The first field is not labeled, but will display "A" to indicate the entry is an advisory or display "U" to indicate if the entry is an uncompared trade
LN NO	Line number to assist when scrolling
I	'I' indicates Specialist Inhibitor
DK	'DK' Indicates Contra firms 'Don't Know' trade
B S	Buy or Sell side
Quantity	Quantity of the trade
Symbol	Stock symbol
Price	Price at which the trade took place
G/U Firm	The clearing firm that you gave up
CNTR Firm	The contra clearing firm that was given up to you
CNTR BDGE	The badge of the broker/specialist whom you traded with
S P	Special Trade – 'X' denotes a special trade
CA ND	Trade Type – Cash, Next Day, or ## of days Sellers Option trade
Exec Time	Time the trade was executed
A T	Account Type – only displayed on the uncompared side

(The field headings listed above are displayed on the First Part of the screen)

Uncompared/Advisory Data cont.,

Those field names indicated below do not fit on the first Part of the OCS screen, you must press PF2 to scroll to the right (Second Part of the screen) and the PF2 once again to scroll back to the left. If there are more than 13 trade entries, then the remainder will be displayed on another screen and you can press PF7 to scroll forward or PF8 to scroll backward.

Field Name	Description
ENTR Firm	Entering Firm Mnemonic – Alpha of the entering firm. Only displayed on the uncompared side.
BTH ID	Booth Agency ID – The BBSS ID populated only on booth records. Only displayed on the uncompared side.
Knows	Part of a larger trade, what already compared
Comments	Free formed comments field
TA Number	A unique NYSE issued number, specific to the order. Only displayed on the uncompared side.
BR-SEQ Number	A unique Firm issued number, specific to the order. Only displayed on the uncompared side.
*Report Link	A Display Book issued number, assigned to a specific set of transactions.
Control Number	A OCS NYSE issued number, specific to that side
ENTR Time	Time the trade was entered into OCS
LN NO	Line number to assist when scrolling
U/A	The last field is not labeled, but will display "A" to indicate the entry is an advisory or display "U" to indicate if the entry is an uncompared trade

(The field headings listed above are displayed on the Second Part of the screen)

As-Of Uncompared

When you enter the As-Of Uncompared/Advisory screen, there will be no data displayed and the cursor will be located in the "Trade-Date" field. You can enter a specific date to review (e.g. 07 21 05), or if no date is entered, the system will show all As-Of data with the oldest trade displayed first. You can further refine what information is displayed by entering additional criteria. You can show the information by Buy/Sell, Symbol, GU-Firm and Contra-Badge. Once you have entered all the display criteria, press the "Enter" key and the appropriate data will be displayed.

```
   NYSE  EQUITY-SYSTEM   T+N     BROWSE UNCOMPARED/ADVISORIES    07/21/05  13:16
                                                        USER-NAME: EQ KISHA
   BRKR-BADGE: 4321              TRADE-DATE: 07 20 05   BUY/SELL    : _
   SYMBOL: _____            GIVE-UP FIRM: ____     CONTRA-BADGE: ____

    LN    B                                     G/U  CNTR CNTR S CA     EXEC A
    NO  I DK S QUANTITY    SYMBOL      PRICE     FIRM FIRM BDGE P ND     TIME T
   * ** * ** * ********* ****** TRADE DATE:  07/20/05 **** TOP OF DATA  **** * *
   U 02      B      1000 ABC       20            YYY  ZZZ  7777          1312
   U 03      B      1000 ABC       20.15         YYY  ZZZ  7777          1312
   * ** * ** * ********* ********* *************** **** * END OF DATA    **** * *
```

(Figure 3: As-Of Uncompared)

```
 _ NYSE  EQUITY-SYSTEM   T+N     BROWSE UNCOMPARED/ADVISORIES    07/21/05  13:20
                                      (SECOND PART)      USER-NAME: EQ KISHA
   BRKR-BADGE: 4321              TRADE-DATE: 07 20 05    BUY/SELL    : _
   SYMBOL: _____            GIVE-UP FIRM: ____      CONTRA-BADGE: ____

   ENTR BTH                         TA      BR-SEQ  REPORT CONTROL      ENTR LN
   FIRM ID  KNOWS    COMMENTS       NUMBER NUMBER  LINK  NUMBER         TIME NO
   **** *** ********** ****** TRADE DATE:  07/20/05   *** TOP OF DATA ** **** ** *
                      BROKER EXAMPLE  TA2222 BR33333 123456 90000019202 1315 02 U
                      BROKER EXAMPLE  TA2222 BR33333 123456 90000020202 1315 03 U
   **** *** ********** *************** ****** ******* *** END OF DATA ** **** ** *
```

(Figure 3 As-Of Uncompared Screen (PF2)- Second Part)

Trade Date Uncompared/Advisories

For Trade Date Uncompared/Advisory information, the "Trade-Date" field will be hard coded and cannot be changed, only allowing Trade Date activity to be shown. When you enter the Trade Date Browse Uncompared screen, the cursor will be located in the "Buy/Sell" field. You must enter either a Buy/Sell side or move to the "Symbol" field and enter the symbol of the activity you want to display. You can further refine what information is displayed by entering additional criteria. You can show the information by Buy/Sell, Symbol, GU-Firm and by Contra-Badge.

```
    NYSE  EQUITY-SYSTEM  T-DATE  BROWSE UNCOMPARED/ADVISORIES    07/21/05  11:08
                                                    USER-NAME: EQ KISHA
     BRKR-BADGE: 4321           TRADE-DATE: 07 21 05      BUY/SELL   : B
     SYMBOL: _____         GIVE-UP FIRM: ____        CONTRA-BADGE: ____

      LN     B                                   G/U  CNTR CNTR S CA    EXEC A
      NO I DK S QUANTITY   SYMBOL      PRICE      FIRM FIRM BDGE P ND    TIME T
    * ** * ** * ********* ****** TRADE DATE:  07/21/05  **** TOP OF DATA  **** * *
    U 02      B      15000 ABC        25.26          YYY  ZZZ  7777      1102
    U 03      B      16000 ABC        25.26          YYY  ZZZ  7777      1102
    * ** * ** * ********* ********* *************** **** * END OF DATA    **** * *
```

(Figure 4 Trade Date Uncompared Screen)

```
 _ NYSE  EQUITY-SYSTEM  T-DATE  BROWSE UNCOMPARED/ADVISORIES    07/21/05  11:10
                                    (SECOND PART)       USER-NAME: EQ KISHA
     BRKR-BADGE: 4321           TRADE-DATE: 07 21 05      BUY/SELL   : B
     SYMBOL: _____         GIVE-UP FIRM: ____        CONTRA-BADGE: ____

     ENTR BTH                          TA     BR-SEQ  REPORT CONTROL    ENTR LN
     FIRM ID  KNOWS      COMMENTS      NUMBER NUMBER  LINK  NUMBER       TIME NO
    **** *** ********** ****** TRADE DATE:  07/21/05  *** TOP OF DATA ** **** ** *
                        BROKER EXAMPLE TA4651 BR51141 987652 90000001202 1107 02 U
                        BROKER EXAMPLE TA4651 BR51141 987652 90000002202 1107 03 U
    **** *** ********** *************** ****** ******* *** END OF DATA ** **** ** *
```

(Figure 4: Trade Date Uncompared (PF2) – Second Part)

Compared Data

Once you have chosen to "Browse Compared" data, either Trade Date or As-Of, you will be able to view your compared comparison activity. Compared data will consist of trades where your clearing firm has submitted your trade data (with your badge number as major or contra) as has the contra side submitted theirs and the system has looked at both sides and determined that they match, constituting a compared trade. Each trade entry will be displayed with the following information:

Field Name	Description
LN NO	Line number to assist when scrolling
I	'I' indicates Specialist Inhibitor
DK	Not Applicable
B S	Buy or Sell side
Quantity	Quantity of the trade
Symbol	Stock symbol
Price	Price at which the trade took place
G/U Firm	The clearing firm that you gave up
CNTR Firm	The contra clearing firm that was given up to you
CNTR BDGE	The badge of the broker/specialist whom you traded with
S P	Special Trade – 'X' denotes a special trade
CA ND	Trade Type – Cash, Next Day, or ## of days Sellers Option trade
M T	OCS Match Type - only displayed on the compared side
Exec Time	Time the trade was executed
A T	Account Type – displayed on the compared side

(The field headings listed above are displayed on the First Part of the screen)

Those field names indicated below do not fit on the first part of OCS screen; you must press PF2 to scroll to the right (Second Part of the screen) and the PF2 once again to scroll back to the left. If there are more than 13 trade entries, then the remainder will be displayed on another screen and you can press PF7 to scroll forward or PF8 to scroll backward.

Field Name	Description
ENTR Firm	Entering Firm Mnemonic – Alpha of the entering firm.
BTH ID	Booth Agency ID – The BBSS ID populated only on booth records
Knows	Part of a larger trade, what already compared
Comments	Free formed comments field
TA Number	A unique NYSE issued number, specific to the order
BR-SEQ Number	A unique Firm issued number, specific to the order
*Report Link	A Display Book issued number, assigned to a specific set of transactions.
Control Number	A unique OCS issued number, specific to that trade
ENTR Time	Time the trade was entered into OCS
LN NO	Line number to assist when scrolling

(The field headings listed above are displayed on the Second Part of the screen)

As-Of Compared

When you enter the As-Of Compared screen, there will be no data displayed and the cursor will be located in the "Trade-Date" field. You can enter a specific date to review (e.g. 07 21 05), or if no date is entered, the system will show all As-Of data with the oldest trade displayed first. You can further refine what information is displayed by entering additional criteria. You can show the information by Buy/Sell, Symbol, GU-Firm and Contra-Badge. Once you have entered all the display criteria, press the "Enter" key and the appropriate data will be displayed.

(Figure 5 As-Of Compared Screen)

(Figure 5: As-Of Compared Screen-Second Part)

Trade Date Compared

For Trade Date information, the "Trade-Date" field will be hard coded and cannot be changed, only allowing Trade Date activity to be shown. When you enter the Trade Date Compared screen, the cursor will be located in the "Buy/Sell" field. You must enter either a Buy/Sell side or move to the "Symbol" field and enter the symbol of the activity you want to display. You can further refine what information is displayed by entering additional criteria. You can show the information by Buy/Sell, Symbol, GU-Firm and by Contra-Badge.

```
   NYSE  EQUITY-SYSTEM  T-DATE  BROWSE COMPARED                  08/02/05   16:24
                                                      USER-NAME:
   BRKR-BADGE: 4321           TRADE-DATE: 08 02 05    BUY/SELL   : B
   SYMBOL: _____         GIVE-UP FIRM: ____      CONTRA-BADGE: ____

    LN      B                                    G/U  CNTR CNTR S CA  M  EXEC A
    NO I DK S  QUANTITY   SYMBOL      PRICE       FIRM FIRM BDGE P ND  T  TIME T
   * ** * ** * ********* ****** TRADE DATE:  08/02/05 **** TOP OF DATA** **** * *
    02      B      3500 ABC        6000            YYY  ZZZ  0001         A1 1513
   * ** * ** * ********* ******** ************** **** * END OF DATA* ** **** * *
```

(Figure 6: Trade Date Compared Screen)

```
 _ NYSE  EQUITY-SYSTEM  T-DATE  BROWSE COMPARED                  08/02/05   16:25
                                      (SECOND PART)    USER-NAME:
   BRKR-BADGE: 4321           TRADE-DATE: 08 02 05    BUY/SELL   : B
   SYMBOL: _____         GIVE-UP FIRM: ____      CONTRA-BADGE: ____

   ENTR BTH                               TA     BR-SEQ  REPORT CONTROL   ENTR LN
   FIRM ID  KNOWS      COMMENTS        NUMBER NUMBER  LINK  NUMBER        TIME NO
   **** *** ********** ****** TRADE DATE:  08/02/05  *** TOP OF DATA ** **** ** *
                       EXAMPLE          MMN032 SEQ3200 000003 90000003214 1613 02
   **** *** ********** *************** ****** ****** *** END OF DATA ** **** ** *
```

(Figure 6: Trade Date Compared Screen-Second Part)

Debit List

The Debit List function provides the ability to enter commission-billing information into the system. Subsequently, the Debit List information you have entered will be sent to the National Securities Clearing Corp's (NSCC) commission billing system for daily end of day processing. The Debit List is only available during certain periods of the month typically <u>from the last week of the month until the end of day of the 10th calendar day of the following month. If the 10th day of the month is not a business day, the following business day will be the last submission date.</u> Should you try to access the debit list while it is not available, the system will display the message "Debit List Function Is Not Available, Due To Date Limitation (10/25 - 11/10)".

Function Key	Function Name	Description
PF2	Scroll Left or Right	Used to scroll when there is additional information to the right or left of the current screen
PF6	Return to Debit list Add Screen	Will bring you back to the Debit List Add Screen
PF7	Scroll Backward	Used to scroll when there is additional information above the current screen
PF8	Scroll Forward	Used to scroll when there is additional information below the current screen
PF9	Total	Used to display a summary total commission amount for all items entered on that day by that specific operator identification.
PF12	Menu	Will bring you back to the Selection Menu screen
Enter	Selection	Will put the current information you have entered into the system (i.e., press enter key after you have keyed in your Operator ID and Password)
Break/Clear	Refresh screen	Will update the data on the screen with current information

Once you have chosen to access the "Debit List Add Function" you will be able to enter commission bill payments. Each Debit List entry may contain the following information:

Field Name	Description
Major Firm	Your clearing firm number or a commission bill number, 4 digits, must be entered
LN	Line number – used to aid when scrolling
Payee's Number	Clearing Firm number or Commission bill number of the clearing firm or broker you wish to pay, 4 digits, must be entered
Commission Amount – Dollars	Whole dollar amount you wish to pay up to 999999999 (e.g. to pay $5624.35, you would enter the 5624), must be entered
Commission Amount – Cents	Decimal portion of the amount you wish to pay up to 99 (e.g. you wished to pay $5624.35, you would enter the 35), if left blank, "00" will be entered by the system
Behalf of Firm	Optional four-character alpha and/or numeric value that indicator behalf of firm. Commission bill number of a clearing firm or broker you wish to pay on behalf of, 4 digits. This additional information will appear on the commission billing statement
Prior Date	If the payment is for a prior date – MM DD YY (e.g. 11 25 98). This additional information will appear on the commission billing statement
EX	Exchange Indicator (N = NYSE, A = AMEX), must be entered
PC	Product Code – For future use

```
NYSE    O.C.S.    ADD    D E B I T    L I S T    07/15/05


MAJOR-FIRM: XXX  (PAYERS NUMBER)
                              BEHALF
LN          PAYEES COMMISSION-AMT   OF      PRIOR-DT   E    P
NO            NUMB    DOLLARS CENTS FIRM    MM DD YY   X    C
```

(Figure 7.0 Debit List Add Screen- Menu)

When you enter the Debit List, the cursor will be located in the Major Firm field where you must enter your clearing firm's commission bill number. You can then begin to enter the information for your commission billing entries. Once you have correctly entered all the necessary fields, press the "Enter" key and the system will then validate the data without applying the entries. If any of the data is invalid, the appropriate fields will be highlighted in red and an error message will be displayed, at which time you must make the necessary corrections and press the "Enter" key. If all the data is valid, the system will display the message "All Fields Are OK, Hit PF1 To Update" and a totals for all the fields (see figure 7.0 below). The first Totals field will be the number of entries you keyed, the second field will be the addition of all the Payee's numbers and the Payer's number, and the third field will be the total commission amount in dollars. The system will then display the message "All Fields Are Ok, Verify Data, Print Screen And Hit PF1 To Update" at which time you should print the screen for your own records and then hit the "PF1" key to update the data. The system will then display the message "Successfully Updated".

```
 NYSE     O.C.S.     ADD     D E B I T     L I S T     07/15/ 05


 MAJOR-FIRM: 0122   (PAYERS NUMBER)
                                           BEHALF
 LN             PAYEES COMMISSION-AMT      OF       PRIOR-DT     E    P
 NO               NUMB    DOLLARS CENTS  FIRM     MM DD YY       X    C
 001              1418      6452 50      ____     __ __ __       N    _
 002              1286      7861 01      ____     __ __ __       A    _
 003              1323     10000 00      ____     __ __ __       N    _
 004              5225     15555 00      ____     __ __ __       A    _
 005              0001       100 02      ____     03 07 02       A    _
 006              0002       250 10      ____     03 06 02       N    _
 007              ____    _____ __      ____     __ __ __       _    _
 008              ____    _____ __      ____     __ __ __       _    _
 009              ____    _____ __      ____     __ __ __       _    _
 010              ____    _____ __      ____     __ __ __       _    _
 011              ____    _____ __      ____     __ __ __       _    _
 012              ____    _____ __      ____     __ __ __       _    _
 013              ____    _____ __      ____     __ __ __       _    _
 014              ____    _____ __      ____     __ __ __       _    _
 ALL FIELDS ARE OK, VERIFY DATA, PRINT SCREEN AND HIT PF1 TO UPDATE
 TOTALS:
   6     9,416          40,218.63
 PFKEYS: ENTER=EDIT PF1=UPDATE  PF6=DEBIT-BR/DEL CLEAR=CANCEL/REFRESH PF12=EXIT
```

(Figure 7.1 Debit List Add Screen)

Debit List/Browse

The Debit List function also provides the ability to browse your commission billing
entries from the Debit List Browse/Delete screen. Once you have chosen the "Debit List
Browse/Delete" function, the screen will return only those records entered on that day by
the operator identification that is logged-on to the function (i.e. YYY).

```
NYSE     O.C.S. BROWSE/DEL  D E B I T    L I S T     07/15/ 05

MAJOR-FIRM: YYY
                                        BEHALF
LN  S PAYERS PAYEES COMMISSION-AMT  OF       PRIOR-DT    E   P
NO  C  NUMB   NUMB   DOLLARS CENTS FIRM   MM DD YY   X   C
001 _   0161  0001      100 02            03 07 02   A
002 _   0161  0002      250 10            03 06 02   N
003 _   0161  1286     7861 01                       A
004 _   0161  1323    10000 00                       N
005 _   0161  1418     6452 50                       N
006 _   0161  5225    15555 00                       A
007
008
009
010
011
012
013
014

TOTAL COMMISSION FOR OPER-ID YYY:      $40,218.63 * TOTAL ITEM COUNT:     6
```

(Figure 7.2 Debit List- Brows/Delete Screen)

Debit List/Delete

In addition users have the ability to delete entries from the Debit List Browse/Delete screen. To delete an entry, you must move the cursor to the first space in the Line Number (LN) column of entry you wish to delete and enter a "D" (multiple entries can be marked with a "D" to be deleted at once) and then press the "PF1" key to update the data (see Figure: 7-2 below). The system will then delete the entire entry from the screen. (*Note: Basically to correct an invalid entry users must perform a "delete" and an "add".*)

```
NYSE      O.C.S. BROWSE/DEL  D E B I T    L I S T    07/15/ 05

MAJOR-FIRM: YYY
                                     BEHALF
LN  S PAYERS PAYEES COMMISSION-AMT   OF      PRIOR-DT   E   P
NO  C   NUMB   NUMB   DOLLARS CENTS FIRM    MM DD YY   X   C
001 _   0161   0001       100 02            03 07 02   A
002 _   0161   0002       250 10            03 06 02   N
003 _   0161   1286      7861 01                       A
004 D   0161   1323     10000 00                       N
005 _   0161   1418      6452 50                       N
006 _   0161   5225     15555 00                       A
007
008
009
010
011
012
013
014
ALL FIELDS OK: CONFIRM DELETE, PRINT SCREEN, PRESS PF1 TO DELETE


PF1=UPDATE PF6=DEBIT-ADD PF7=BKW PF8=FWD PF9=COMM-SUM 12=EXIT CLEAR=CAN/REFRSH
```

(Figure 7.2.1 Debit List- Brows/Delete Screen-Delete Function)

Once an item is successfully deleted it will no longer be displayed.

```
NYSE      O.C.S. BROWSE/DEL  D E B I T    L I S T    07/15/ 05


MAJOR-FIRM: YYY
                                      BEHALF
LN  S PAYERS PAYEES COMMISSION-AMT    OF      PRIOR-DT    E   P
NO  C   NUMB   NUMB   DOLLARS CENTS  FIRM    MM DD YY    X   C
001 _   0161   0001       100 02             03 07 02    A
002 _   0161   0002       250 10             03 06 02    N
003 _   0161   1286      7861 01                         A
004 _   0161   1418      6452 50                         N
005 _   0161   5225     15555 00                         A
006
007
008
009
010
011
012
013
014
PLEASE, FILL IN 'D' TO DELETE, HIT ENTER OR PF1
SUCCESSFULLY DELETED
```

(Figure 7.2.2 Debit List Browse/Delete - Deleting Entry Successfully Completed)

The National Securities Clearing Corp. (NSCC) issues a monthly statement before any payments are made.

Should you have any problems or questions concerning commission bill payments, contact Lou Recco at (212) 383-5708.