Information Memo

Trading Technology

November 11, 2009

TO: ALL MEMBERS, MEMBER ORGANIZATIONS
and Vendors Interfacing with the Common Customer Gateway^{SM} (CCG)

SUBJECT: **Automatic Cancelation of Partially Executed/Canceled GTC orders**
& "Done for Day" Subscription Service Update

Route To: **Business Leaders, Technology and Operations Officers, Trading**
Desks and Order Rooms

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Automatic Cancelation of Partially Executed/Canceled GTC orders

Pending SEC approval, the NYSE will institute a temporary processing change to automatically cancel all open GTC orders and replacement orders that received a partial fill or were partially canceled during the trading day. Customers should expect to receive an unsolicited "UROUT" at approximately 4:30 p.m. Customers are advised that any resubmitted orders for the unexecuted quantity returned will be considered new orders. GTC orders that did not receive a partial fill or were partially canceled during the trading day will continue to be retained overnight. It is anticipated that this change will go into effect in the December timeframe and normal order processing will be restored in the 1st Quarter of 2010.

"Done for Day" Subscription Service

Also beginning in December, the NYSE plans to activate "Done for Day" messages on a Firm subscription basis. Subscribed Firm mnemonics will receive an unsolicited "UROUT" end of day message for all unexecuted "Day" orders sent to SDBK at the designated cutoff time currently planned as 4:30 p.m.

The "Done for Day" service will not initially be supported for open "Day" orders sent to the NYSE BBSS$^®$ or an NYSE e-Broker^{TM} handheld; however plans are in progress to support

this service in a future NYSE Broker systems release. Member Firms are being advised in advance to prepare for this change.

In order to support this new service, the following technical changes are required:

1. OrdStatus <Tag 39> will be populated with a new value of "3" representing "Done for Day".
2. ExecType <Tag 150> will be populated with a new value of "3" representing "Done for Day".
3. ExecTransType <Tag 20> will be populated with the existing value "0".
4. Text <Tag 58> will be populated with the text "Done for Day".
5. LeavesQty <Tag 151> will be returned with a value of zero.
6. LastShares <Tag 32> will be returned with the value of zero.

The Merged Order Log Output will also be enhanced to include a new reason code of "Done for Day" on admin response records (message type 3A).

Summary

For business questions relating to the upcoming enhancements, please contact your NYSE Relationship Manager or Robert Airo at (212) 656-5663. To subscribe to this service, please contact John Schwarzbeck at 212.656.5462 or mnemonics@nyx.com.

For technical questions and/or testing arrangements, please contact our Service Desk at 1-866-873-7422 or send an email to support@nyx.com.

For more information regarding the Post Trade changes, please refer to Post Trade Notice 163 titled "Done for Day Changes" on NYSE.com.