Information Memo

NYSE Euronext

11 Wall Street
New York, NY 10005

NYSE Operations

June 7, 2011

TO: **ALL MEMBERS, MEMBER ORGANIZATIONS**
and Vendors Interfacing with the Common Customer GatewaySM
(CCG)

SUBJECT: **Common Customer Gateway^{SM} (CCG) Support for Market Participant ID (MPID) for Broker OATS Reporting**

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

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Background

Commencing on or about October 3rd 2011, FINRA is implementing OATS^{SM} submission for all NMS securities. The NYSE Broker Systems will become an OATS reporting system to FINRA to comply with this new requirement. Accordingly, firms that route orders to NYSE Broker Systems (NYSE Broker Booth Support System® and the NYSE eBroker^{TM} handheld) will be required to include their firm's MPID on all order and cancel/replacement messages.

This notification details the CCG technical changes to support inclusion of a firm's MPID in the FIX protocol. Further details outlining the new NYSE Broker OATS reporting service will be covered by a separate notice.

Broker Systems Destined Orders:

For customers who route orders directly to the NYSE Broker Systems (NYSE BBSS® and NYSE eBroker™ handheld), the following change is <u>required</u> for all order and cancel/replacement messages:

a. Customers must submit all order and cancel/replacement messages with new FIX Tag 109 <ClientID> containing the firms MPID.
    a. Tag is defined as 4 byte alpha/numeric.
b. This new Tag will be returned on all order, report and admin (cancel and cancel/replace) drop copies if subscribed.
c. This new Tag will <u>not</u> be returned on any report or "UROUT" messages.
d. Firm MPID will also be included in the Agency or Badge Merged Order Logs. Further details outlining Merged Order Log changes will be covered by a separate notice.

Matching Engine Destined Orders:

For customers who route orders directly to the NYSE Matching engine, the inclusion of your firm MPID on order and cancel/replacement messages is <u>optional</u>. If provided, this information will be returned on all order and cancel/replacement drop copies if subscribed. However, this Tag will not be returned on any report or "UROUT" messages and will not be included in any Firm Merged Order Log output.

Summary

It is anticipated that customers must provide this new Tag on order flow to the NYSE Broker Systems on or about October 3rd 2011. A future notification will provide information regarding testing opportunities and exact implementation dates.

Please contact your Relationship Manager or one of the below contacts should you have any further business questions or comments:

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For any technical questions, please contact Firm Testing at 1-888-689-7739 or send an email to firmtesting@nyx.com.