Information Memo

11 Wall Street
New York, NY 10005

NYSE Operations

February 15, 2013

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

SUBJECT: **Step-Out-Service Migration to GEMS – User Testing and Training Update**

PT 185

The purpose of this information memo is to provide the clearing firm community with an update on the plan to migrate the OCS "Step-Out-Service (SOS)" to GEMS. Clearing firm training and testing for the GEMS Step-Out-Service product is scheduled to begin in March 2013. The GEMS SOS product will be available for Firms to access and process transactions in "shadow mode". Listed below is a summary of the schedule to be followed:

GEMS SOS Web-ex Training:
The NYSE will host a Web-ex on February 20th and 27th to familiarize clearing firm users with the new SOS GUI product. All customers that have submitted a GEMS Access Request form will receive a meeting invitation.

Comodo Certificate Access:
Comodo Email Certificates required to access the GEMS SOS product will be distributed to Clearing Firm users in February 2013. If you have submitted an Access Request Form and do not receive a Comodo Email certificate by February 28th, please contact Broker Services at brokerservice@nyx.com.

User Testing:
The GEMS SOS product will be available in test mode beginning March 4, 2013. The first week of testing will be leveraged for Clearing Firm users to log-on to the service and become familiar with navigating the screen and the system functions.

- Users will require a Comodo certificate to access the application
- User Names and Passwords will be provided

User MQM Testing:
Clearing Firms that wish to perform their own independent SOS MQM testing may do so by connecting to the UAT environment (OCQ-region). The UAT environment has been reconfigured to direct such messages to the GEMS SOS product. To request such testing please contact Broker Services at brokerservice@nyx.com.

- Firms will be able to send SOS MQM messages (add, change, delete, etc..) and receive MQM response messages from the GEMS SOS product.

User Shadow Mode or Parallel Testing:
Commencing with transactions from trade date March 11, 2013 thru March 22, 2013, Clearing firm users are instructed to perform production parallel testing on the GEMS SOS product. The GEMS SOS product will be running in "shadow mode" along with the OCS SOS product. Clearing firm users will be able to check SOS activity that appears on the NSCC test contract output against the NSCC production contract output. If a Clearing firm performs all the same SOS screen actions in GEMS as in OCS (and the test programs correctly mimic the MQM messages), the SOS contract output should be in agreement.

- The GEMS SOS product will be brought up on a daily basis loaded with the Unaffirmed and Alert Step-Out activity mirroring the OCS SOS production environment at start-of-day
- In addition, a copy of the OCS SOS MQM messages that users send in production will also be provided to the GEMS SOS product running in shadow mode in an attempt to mirror production.
- Clearing firm users will be able to view and adjust transactions via their GEMS SOS screens.
- GEMS SOS Affirmed transactions will be sent to DTCC's Test PSE environment.
- DTCC will provide test contract output to the clearing firm community.

Test NSCC Contract Output:
Questions concerning NSCC Test contract output should be directed to the DTCC Enterprise Service Center at 888.382.2721 or to your NSCC Relationship Manager

Test SOS Unaffirmed Alert File
Requests for an Unaffirmed Alert File (Product ID 06010983) from the testing should be forwarded to the Broker Services group at brokerservice@nyx.com.

If you have any questions in reference to this memo please contact one of the following:

- Larry Moreno 212.656.4648 lmoreno@nyx.com
- John Schwarzbeck 212.656.5462 jschwarzbeck@nyx.com
- Bob Hesdra 212.656.3859 bhesdra@nyx.com

Reference Materials:

- PT 182 - OCS "Step-Out Service" migration to GEMS – July 12, 2012
  https://usequities.nyx.com/sites/usequities.nyx.com/files/pt182_sos_in_gems.pdf

- PT 183 - GEMS "Step-Out Service" Access – August 7, 2012
  http://usequities.nyx.com/sites/usequities.nyx.com/files/pt183__sos__in__gems_connectivity.pdf

- PT 184 - Step-Out-Service Migration to GEMS – User Guide – November 16, 2012
  https://usequities.nyx.com/sites/usequities.nyx.com/files/pt184_sos_in_gems_user_guide.pdf