Meeting Name: **Symbology Committee**

Date: **Wednesday October 28, 2009**

Attendees: Monica Vira (Barclays Capital), Irene Falkovich, Linda Tietz (BNY Mellon), Steve Chodash (CBOE), Jim John (CDCC), Ray Carlin (Credit Suisse), Tara Musser (CSS Software), Kathleen Asselin (Desjardins), John VanDerBleek (Duetsche Bank), Joe Jogmen (Equitec), Susan Loverde (Fidelity), Lee Fuller (Fidessa), Manisha Kimmel (FIF), Jill Bolen (Interactive Data), Brian Smith, Dana Stopczynski (ION Trading), Howard Berkman (JP Morgan Chase), Ted deWit (Legent), Pete Peluso, Joseph Vecchione (Merrill Lynch), Gary Franklin (Morgan Keegan), Jean-Guy Cote, Jean-Philippe Villeneuve (National Bank of Financial), Erin Collins, Bill Erickson, Dave Harrison, Tracy Poole, Doreen Scheulin (OCC), Tom Brown (Omgeo), Joe Corrigan (OPRA), Meral Altinbilek, Christopher Cavaliere (RBC Capital), Kit Housh (RBC Wealth Management, Brian Connor, Cory Novak, Peter Stephenson (Scottrade), Mike Collazo (SIAC), Tom Tierney (SIFMA), Mary Hanan, Michael McAllister (Southwest), Lisa Cardwell (Sungard GMI), Liz Miller (TD Ameritrade), Mike McWaters (Tera Nova Financial), Aparna Devershetty (Thomson Reuters), Dena Shipp (Trade Station), Richard Motola, Santhanam Pattabiramen (UBS), Admadou Ly (Wells Fargo), Michael Dorman (William Blair).

Key Discussion Points:

Agenda

Industry Updates

Erin Collins, OCC reported that there was no new industry news this week.

Scripted Industry Testing

Karen Glad, OCC reported that the next test will be Saturday, November 14, 2009 which will be a consolidation test. The test assumes that class consolidation have been completed and it is market open post consolidation.

The test scripts have changed since the October test. The updated scripts v21.6 and reference guide v3.1have been posted to the OSI website. All scripted industry testing participates have received the updated consolidation spreadsheet v3. If you have any questions regarding the scripts or are experiencing any issues during the November test, please follow up with the Exchanges.

The November test assumes all Flex consolidation have taken place, in turn the Flex consolidation event drops trailing numeric's from the symbol. Regarding ½ point products, the November test assumes all ½ point strikes have been changed. All ½ point strike products are explicitly represented. No longer is the strike multiplier .1, the new strike multiplier will be 1.0.

Registration with OCC for the November 14th test will close as of business November 2, 2010. Reminder you must also register with the CBOE, BOX, NYSE and NASDAQ OMX PHLX Exchanges separately. You only need to register with the Exchanges you do business with on a normal basis.

The November test DDS replay will occur on Monday November 16th , and the DDS will be available by 11:00 pm., on Monday night. The next Scripted Industry Testing meeting is scheduled for Friday, 10/30/09.

Broker Dealer Sub-Committee Status

The last Broker Dealer meeting was held last Thursday and the focus of the meeting was the October Scripted Industry test issues and how OCC and the Exchanges were going to mitigate those issues that occurred during the October test.

Issues/Concerns

Minisha Kimmel, FIF reported that the Retail OSI brochure that was sent out to this committee will also be posted to the OSI website and that a link will be added to the OIC home page with a Intro to Symbology class.

Next Meeting*:* Conference Call – November 18, 2009 – 9:00 AM, CT (10 AM, ET)

Call in: Phone: 800.582.9056 Room: *8818637*