

Meeting Name: Symbology Committee

Date: Wednesday, January 7, 2010

Attendees: Gene Koziarz (Algo Trade), Verna Kaufman (Ameriprise Financial), Sean Conahan (Barclays Capital), John Goode, Denis Vallee (BOX), Monica Vira (Barclays Capital), Kathleen Asselin (Desjardins Securities), John VonDerBleek, Michael Sween (Deutsche Bank), Susan Loverde (Fidelity), Lee Fuller (Fidessa), Stephen Bedosky (Goldman Sachs), Stephen MacDonald (IBM Global), Dana Stopczynski (ION Trading), Patti Mayo (Merrill Lynch), Jean-Philippe Villeneuve (National Bank of Financial), Erin Collins, Bill Erickson, Karen Glad, Dave Harrison, Tracy Poole, Doreen Scheulin, Sheila Zak (OCC), Tom Brown (Omgeo), Peter Greenberg (Oppenheimer), Melissa Carannante, Mike Collazo (SIAC), Michael McAllister (Southwest), Lisa Cardwell (Sungard), Steve Woodward (TD Ameritrade), Andre Kupelian (UBS).

Key Discussion Points:

Agenda

Industry Updates

Dave Harrison, OCC reminded everyone that OCC resent the OCC Clearing Member certification letters to all Operations Managers in December, 2009 and again this week. All signed certification letters are due back to OCC by January 25, 2010. If for some reason your letter will be delayed, please contact OCC to provide when the signed letter will be submitted.

Scripted Industry Test

Karen Glad, OCC reminded everyone that the first January OSI test will be this Saturday, 01/09/10, and will be a consolidation test, similar to the December test. OCC will be replaying the trades on Monday as well as running through an expiration cycle. All Exchanges will be testing out of their production environments during this test. The schedule and updated scripts, both pdf and excel formats, will be posted to the website by Wednesday, 01/06/10 afternoon.
<http://www.theocc.com/initiatives/symbology/osi-testing.jsp>

The CBOE has added a complex order spread transaction utilizing the GLD symbol. GLD will be consolidating for CBOE and have been added to their test cases. The CBOE only be consolidating their base scripts and not their exchange specific test cases. If you wish to test with non consolidation symbols, please contact the appropriate Exchange.

Once the January testing cycle is complete, OCC will roll thru another business day in order to provide transmission DDS messages, which can be used for loading and preparing for the 01/30/10 test.

The January 30, 2010 test will be a consolidation test, Monday replay only, no expiration. The CBOE, NYSE Arca, NYSE Amex and ISE will be testing out of their certification environments. Please remember to signup for the 01/30/10 test via the OSI website.

The next SIT Testing meeting will be held on Friday, 01/08/10 @ 9:00 a.m., CT. The agenda will be sent out this afternoon.

Issues/Concerns

No additional issues were brought up at this meeting.

Next Meeting: Conference Call – January 20, 2010 – 9:00 AM, CT (10 AM, ET)

Call in: Phone: 800.582.9056 Room: *8818637*