

Meeting Name: Symbology Committee

Date: Wednesday January 21, 2009

Attendees: Sean Conahan (Barclays Capital), Tim Donohue (BNP), Nicholas Losurdo, Robert Petro, Denis Vallee (BOX), Pat Scaglione (Broadridge), Joe Anastasio (Capco), Nancy Adams (Charles Schwab), Ashley Ahl (Citadel), Gege Tam (Credit-Suisse), Greg Hayashida (Citrade), Bob Curtis (CSS Software), Winne Chung (Duetsche Bank), Susan Newton, Cecelia Poppleton (Fidelity), Arun Vasu Nair (Infosys), Brian Smith (ION Trading), Mike Savitsky (Jefferies), Ted deWit (Legent), Kevin Chin (LEK Securities), Patricia Mayo, Joseph Vecchione (Merrill Lynch), Norman Brower, Andrew Gumper, Phil Hopkins (Morgan Stanley), Ken Hawley (NASDAQ OMX), Erin Collins, Bill Erickson, Karen Glad, Mike Hemmering, John Peplinski, Tracy Poole, Doreen Scheulin (OCC), Tom Brown (Omgeo), Joe Corrigan (OPRA), Scott Johnson (OptionxPress), Dwayne Rincon (Pershing), Steve Ellis, Dan Giddens, Marie Hughes, Jim Knight, Gene Lane, Bryan Palas, Mary Roberts, Richard Rydlewski, Denise Seibert, Leanne Stumph, Barbara Vieth (Raymond James), Christopher Cavaliere, Burton Cutting (RBC Capital), Brian Connor (Scottrade), Mary Hanan (Southwest), Denise Martin (Stephens), Ann Duggan (Stifel), Frank Williams (Sungard), Lisa Cardwell (Sungard/GMI), Dave Koba (Susquehanna), Kristen Walsh (T. Rowe Pricing), Steve Woodward (TD Ameritrade), Aparna Deverhshetty (Thomson Reuters), Ada Cheung, Daniel Jean-Baptiste, Richard Motola, Mark Yuknek (UBS), John Coverly (WestWater).

Key Discussion Points:

Agenda

Industry Updates

Frank Pirih, Goldman Sachs gave an update from the 01/20/09 Steering Committee meeting. Frank reported that there has been a lot of questions regarding the Executing Broker Dealer layouts and how where they going to interface with their clients. The Steering Committee is working on this issue and will have more information to follow.

Attached to the 01/07/09 Symbology Committee meeting agenda, OCC sent along with it an electronic copy of the OSI Brochure, Frank encouraged everyone to redistribute the brochure, whether electronically or include in their monthly statements.

The next SIFMA Operations Conference will be held in Hollywood, Florida, April 26, 2009 – April 29, 2009. A panel discussion will be held that will focus on Symbology certification and testing. More information to follow.

Scripted Industry Testing

Karen Glad, OCC gave an updated on Scripted industry testing stating that the next meeting will be held Friday, 01/30/09 @ 8:00 a.m., CT. An offer was extended to various vendors to give an update on their timelines and implementation schedules. At the 01/30/09 meeting, OPRA and Thomson Reuters will be giving their presentations. Broadridge will be presenting at the February meeting. Karen needs to confirm with Bloomberg on when they will be presenting. If anyone else would like to participate, please contact Karen Glad @ kglad@theocc.com. Karen will be sending a meeting reminder today and again next Wednesday, 01/28/09. A request was made to have a copy of the link from the OSI website, listing vendor participants of scripted industry testing.

http://www.theocc.com/initiatives/symbology/vendor_contact_list.pdf

Vendor Sub-Committee Status

Tim Donohue, BNP has volunteered to chair this sub-committee, which will be renamed to the Broker Dealer sub-committee. The focus of this sub-committee will be on issues and concerns of broker dealers. If updates from vendors are required it will be on a request basis from the committee. Doreen Scheulin, OCC will be sending out an email seeking contact information if interested in joining this sub-committee. The 1st meeting in 2009 is tentatively scheduled for late next week or early the week of 02/02/09.

Issues/Concerns

No issues or concerns were brought up at today's meeting.

Next Meeting: Conference Call – February 4, 2009 – 9:00 AM, CT (10:00 AM, ET)

Call in: Phone: 800.582.9056 Room: *8818637*