

Meeting Name: Symbology Committee

Date: Wednesday April 15, 2009

Attendees: Vishal Makim (Bank of America Securities), Sean Conahan, Satyam Rawal (Barclays Capital), Irene Falkovich, Linda Tietz (BNY Mellon), Denis Vallee (BOX), Joe Anastasio, Michael Hartig, Jack Mulqueen, James Neumann (CAPCO), Steve Chodash (CBOE), Jim John (CDCC), Nancy Adams, Kevin Miller (Charles Schwab), Zbigniew Ostrowski (CitiGroup), Raymond Carlin, Lisa Dorenfest, Mark Mudry (Credit-Suisse), Greg Hayashida (Citrade), Tara Musser (CSS Software), Nicholas Asselin (Desjardins Securities), Winnie Chung (Duetsche Bank), Joe Jogmen (Equitec and Compass Execution), George Swindasz (Fidelity), Ray Fritzen, Hubert Lin, Claudia Rericha (Goldmans Sachs), Stephen MacDonald (IBM Global), Arun Vasu Nair (InfoSys), Jill Bolen (Interactive Data), Mark Grinbaum (ISE), Vincent Mattera, James Merizio, Rich Shriver, David White (JP Morgan Chase), Ted deWit (Legent), Wesley Bugaj, Patricia Mayo, Peter Peluso, Joseph Vecchione (Merrill Lynch), Norman Brower, Venay Kumar Puri (Morgan Stanley), Ken Hawley, John Shelton (NASDAQ OMX), Simon Alain, Jean-Philippe Villeneuve (National Bank of Financial), Pam Zielezinski (NYSE Arca), Erin Collins, Bill Erickson, Karen Glad, Mike Hemmering, Doreen Scheulin (OCC), Tom Brown (Omgeo), Joe Corrigan (OPRA), Dwayne Rincon (Pershing), Marie Hughes, Jim Knight, Craig Lester, Bryan Palas, Mary Roberts, Richard Rydlewski, Denise Siebert, Leanne Stumph, Barbara Vieth (Raymond James), Christopher Cavaliere, Burton Cutting, Jose Varughese (RBC Capital), Brian Connor (Scottrade), Lisa Becker-Erl (SFB Market), Melissa Carannante, Michael Collazo, Brian Faughnan (SIAC), Lisbeth Soudier (Societe Generale Americas), Mary Hanan (Southwest), Denise Martin (Stephens), Lisa Cardwell (Sungard/GMI), Aparna Devershetty, Sharon Miller (Thomson Reuters), Richard Motola, Mark Yuknet, (UBS), Ahmadou Ly (Wachovia).

Key Discussion Points:

Agenda

Industry Updates

Erin Collins, OCC opened up the meeting reminding everyone that the SIFMA Operations Conference is scheduled for the last week in April, 2009. There will be a Symbology Panel focusing upon testing and certification.

Scripted Industry Testing

Karen Glad, OCC reported that information was sent out to this committee on the proposed test symbols. Karen asked everyone to review the test symbols looking for missing or misrepresented information, please contact Karen if you have any changes or comments @ kglad@theoocc.com. Karen also reported that the scope may change, depending on the future, current or Saturday date that will be selected. Norman Brower, Morgan Stanley asked Karen if OCC would make a commitment on

finalizing the date issue, stating that he thought this was a project level risk. Karen agreed and said that she would communicate a deadline of Wednesday, 05/13/09. Karen also said that OCC will be having one on one follow-up with service bureaus and market data vendors regarding the 05/13/09 deadline on their questionnaire that was sent out regarding non-proprietary date information.

Karen stated that the next Scripted industry testing committee was scheduled for Friday, 04/17/09 @ 9:00 a.m., CT. The focus of this meeting will be firms OSI impact/changes, reviewing the proposed test symbols, testing capabilities, in addition to whether they can test with a future, current or Saturday date. So far firms are all over the place, according to Karen. OCC is currently working on providing a solution that will meet everyone's needs. Karen stated that the 2nd Saturday of December, 2009 is now a testing day.

Broker Dealer Sub-Committee Status

Tim Donohue, BNP was not present at today's meeting, however Erin Collins, OCC stated that at the last broker dealer sub-committee meeting, a list of all areas of systems affected by OSI was sent to the sub-committee group. Erin will contact Tim Donohue regarding sending this list out to this committee and publishing it on the OSI website. The next broker dealer meeting will be held Thursday, 04/23/09 @ 1:30 p.m.

Issues/Concerns

Linda Tietz, Bank of New York asked if any information was available regarding DTCC and Swift and other 3rd party vendors. Norman Brower, Morgan Stanley stated that there were URL specification links at vendor websites. Karen Glad, OCC stated that some non-proprietary information was available on vendor website, such as when testing dates are available and information regarding old/new format availability. Karen also stated that DTCC has published important notices on their website regarding OSI and that Swift has stated that there was no OSI impact from their perspective.

Karen Glad, OCC stated that OCC external testing environment was now available and that more detailed information on the OSI website is available regarding requesting access to OCC external testing environment. If you would like more information regarding OCC external testing, please contact either Karen Glad @ kglad@theocc.com or Mary Kay Kulinski @ mkulinski@theocc.com. Karen also stated that the Exchanges will be presenting their testing plans at the SIFMA Conference the last week in April, 2009. Karen also suggested that you can contact the Exchanges directly for more detailed information.

Steve Chodash, CBOE wanted to make a clarification regarding Flex products on OPRA. Steve stated that it is the clearing symbol, not the security symbol, that can be 6 characters long in the OPRA format for Flex products. This is how this is done today and it will continue in the future. Steve said that he would document this and send it to OCC and have it posted on the OSI website.

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

Erin Collins, OCC concluded the meeting stating that due to the end of the month SIFMA conference, our next meeting is scheduled for Wednesday, 05/13/09.

Next Meeting: Conference Call – May 13, 2009 – 9:00 AM, CT (10:00 AM, ET)

Call in: Phone: 800.582.9056 Room: *8818637*