TO	☒ Senior Management
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FROM	Paul J. McKenney
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SUBJECT	Addendum to OATS Reporting Technical Specifications, August 6, 2007
DATE	8/21/2007

On August 6, 2007, FINRA published *The OATS Reporting Technical Specifications* describing technical enhancements and enhancements required to support OTC equity security reporting to OATS. This addendum includes the following:

1.) Modification of permitted values in the Market Center ID field
2.) Addition of one Special Handling Code/Desk Special Handling Code
3.) Extension of the OATS Reporting Deadline

The Market Center ID and Special Handling Code changes will be available in the OATS Production environment on February 4, 2008 and in the Certification Test environment on December 10, 2007. The change to the OATS reporting deadline will be effective in the Production and Certification Test environments on August 20, 2007.

Market Center ID

The Market Center ID value of 'O' will now represent the OTC Reporting Facility, and Executions or Combined Order/Executions with this value will be included in Order/Trade Matching. The value of 'O' formerly represented the Bourse de Montreal. In addition, the values of 'T' (Toronto Stock Exchange) and 'V' (TSX Venture Exchange) have been removed. Firms that trade report to one of the Canadian Exchanges listed above must use the Market Center ID of 'F' (Non-US Exchange).

OATS Reporting Deadline

Effective Monday, August 20, 2007, OATS reportable order events that occurred during a particular OATS Business Day must be reported to OATS by 5:00 A.M. Eastern Time the following calendar day. This new reporting deadline gives firms an additional hour, from the current 4:00 A.M. deadline, to submit OATS data. Reports received after the new 5:00 A.M. deadline will be marked late.

Special Handling Codes/Desk Special Handling Codes

One new Special Handling Code and Desk Special Handling Code will be added for Discretionary Limit Orders ('DLO'). A Discretionary Limit Order is a limit order for which the customer defines an amount off the limit price (for example $.50) to increase the price range over which the limit order is eligible to execute.