

TO	☒ Senior Management ☒ Legal and Compliance ☒ OATS Primary Contact ☒ OATS Technical Contact ☒ Operations ☒ Systems/Technology ☒ Trading
FROM	FINRA, Market Regulation
SUBJECT	Addendum to OATS Reporting Technical Specifications, May 3, 2011
DATE	6/10/2011

On May 3, 2011, FINRA published The OATS Reporting Technical Specifications describing required changes related to FINRA's rule changes expanding the OATS Rules to all NMS stocks (SR-FINRA-2010-44), and other technical enhancements. This addendum to the May 3, 2011 document includes the following:

- 1.) Additional Unmatched Reason Codes for unmatched Interfirm Route Reports
- 2.) Additional Unmatched Reason Codes for unmatched Exchange Route Reports
- 3.) Update to the description of Desk Type Code value of 'T'
- 4.) Update to the permissible values for Routed Order ID/Sent to Routed Order ID

Unmatched Interfirm Route Report Data – Orders Routed/Received

The following unmatched reason codes have been added/updated:

- 4023 – Routing Firm or Order Receiving Firm Market Participant ID did not match
- 4024 – Issue Symbol did not match
- 4025 – Multiple fields did not match

Unmatched Exchange Route Report Data

The following unmatched reason codes have been added:

- 4014 – Issue Symbol did not match
- 4015 – Multiple fields did not match

Desk Type Code

The description of permitted value of 'T' has been corrected.

T – Trading Desk

Routed Order ID

The permissible value for the Routed Order ID/Sent to Routed Order has been corrected. Any alphanumeric not containing a delimiter or leading zeroes may be populated.