

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,  
              September 12, 2013

---

DATE         10/16/2013

---

On September 12, 2013, FINRA published The OATS Reporting Technical Specifications describing required changes related to the exchange route matching requirements for orders routed to the EDGA and EDGX Exchanges. This addendum to the September 12, 2013 document includes the addition of a new Rejection Code which prevents the population of both the Originating Department ID and the Receiving Department ID on the same New Order Type Report.

The new Rejection Code is :

- 2146 – Both Originating Department ID and Receiving Department ID must not be populated.