

Interpretation Memo

Member Firm Regulation

New York Stock Exchange, Inc.
20 Broad Street
New York, NY 10005



Number 02-7
August 7, 2002

**PLEASE ROUTE TO FINANCIAL AND OPERATIONS OFFICER/PARTNER
AND COMPLIANCE DEPARTMENT**

**TO: MEMBER, MEMBER ORGANIZATIONS AND INTERPRETATION
HANDBOOK SUBSCRIBERS**

**SUBJECT: UPDATE OF INTERPRETATION HANDBOOK – SEA RULE 15c3-1 AND
SEA RULE 15c3-3**

The accompanying updated Interpretation Handbook pages are being distributed as replacements for existing pages. The update includes clarification of existing rules and/or new interpretations. These interpretations should be carefully reviewed before insertion into the handbook.

**SEA Rule 15c3-1
Page & Reference**

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67, (a)(2)(vi)(B)/031	Error Transactions of Floor Brokers (RESCINDED)
67, (a)(2)(vi)(B)/032	Error Transactions of Floor Brokers
105, (c)(2)/01	Generally Accepted Accounting Principles (GAAP)
127, (c)(2)(iv)(B)/081	Issuing Mark to Market Call and Collecting Payment on Stock Loan Deficits Focusing Around Bank Holidays
128, (c)(2)(iv)(B)/091	Issuing Mark to Market Call and Collecting Payment on Securities Borrowed Deficits Focusing Around Bank Holidays

SEA Rule 15c3-1 (continued)

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189, (c)(2)(vi)(D)/01	Money Market Funds
360, c(a)/03	One Line Flow Through
365, c(c)/01	Haircuts Consolidation (RESCINDED)
365, c(c)/011	One Line Flow Through Capital

SEA Rule 15c3-3

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484, (a)(1)/06	Parent, Affiliate or Sister Corporation of Broker-Dealer
486, (a)(6)/013	Stripped Securities Deposited
488, (a)(6)/04	Callable Interest Obligation Stripped Securities
543, (e)(1)/011	Time Deposits
609, (Exhibit A)/031	Allocation on Stock Borrow/Stock Loan (RESCINDED)
609, (Exhibit A)/032	Allocation on Stock Borrow/Stock Loan
629, (Exhibit A-Item 1)/21	Two Or More Accounts Carried By The Same Bank (RESCINDED)
629, (Exhibit A-Item 1)/211	Two Or More Accounts Carried By The Same Bank
636, (Exhibit A-Item 2)/031	Commingled Collateral As Options Clearing Corp Margin Deposit (RESCINDED)
636, (Exhibit A-Item 2)/032	Commingled Collateral As Options Clearing Corp Margin Deposit
645, (Exhibit A-Item 4)/081	Netting of Money Market Fund Payables by Amounts Receivable from Money Market Funds

SEA Rule 15c3-3 (continued)

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660, (Exhibit A-Item 10)/081	Netting of Money Market Fund Payables by Amounts Receivable from Money Market Funds
664, (Exhibit A-Item 11)/030	Returning Securities Borrowed Focusing Around Bank Holidays
673, (Exhibit A-Item 13)/012	Commingled Collateral As Options Clearing Corp Margin Deposit (RESCINDED)
673, (Exhibit A-Item 13)/013	Commingled Collateral As Options Clearing Corp Margin Deposit

Questions regarding this interpretation memo should be directed to your Finance Coordinator.

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