



Member Processing Review - Weekly Progress Report

Date: July 10, 2014
Title: Member Processing Notes
Location: 26th Floor Executive Conference Room
Time: 2:00
Attendees:

ISE Membership

- Members Approved:
- Members Suspended: **Elevation, LLC**
- Members Terminated:
- Pending Membership Change: Susquehanna Securities will assume Market Making operations of Susquehanna International Group. Expected date 8/1/14 **update looks likely that this will be a name change only; Convergen Execution Solutions LLC will assume Liquidpoint's ISE business – need to apply**
- Membership Change:
- Name Changes:
- Clearing Changes: **Scotia Capital (USA) Inc. (potential)**

Pending Firms	id	Interface/ Telco	Clearing	AA/SL	LOC A	Date of APP	Status
E D & F Man Capital Markets Inc.	MPS	Precise	MLPFS	Yes	No	6/24/14	FINRA
Tullett Prebon Financial Services, LLC	PRE	Precise	GSEC	Yes	No	6/20/14	Waiting for check

Approved member*	id	Interface	Clearing	AA	LOC A	Date of Approval	OK to Trade
Robert W. Baird & Co., Inc. (ISE)	RWB	PrecISE	Self	Yes	N/A	5/15/14	FINRA
Scotia Capital (USA) Inc.		PrecISE/ FIX(flex trade)		Yes		10/3/10	Changing trading Systems
Sumo Capital LLC		FIX	GSEC	Yes	Yes	10/08/12	Yes
Walleye Trading LLC (Gemini)	EYE	DTI	GSEC	Yes	Yes	11/27/13	Yes

Firms inquiring about ISE Membership

- ~~XR Securities (CMM)~~
- **Convergen Execution Solutions LLC**
- Sun Trading
- Jane Street



Gemini Membership

- Members Approved:
- Members Suspended: **CIBC World Markets Corp.**
- Members Terminated:
- Pending Membership Change: *Newedge acquired by Soc Gen. SG Americas will be surviving member. Need to apply for Gemini. For give ups.*
- Membership Change:
- Name Changes:
- Clearing Changes:

Firms inquiring about Gemini Membership

BMO Capital Markets
Akuna Securities

Discussion

**Notifications not in place – Please use email until then
Remove certain fields from ERS. (Global Tracking etc.)**

Contact List for Member Processing Questions

General – Ronan Cahill

Legal and Acronyms – Ronan Cahill, Samir Patel

Technology Member Services

New IORS or PrecISE sessions – Brian Hwang
New API sessions –, Jignesh Desai
API and Member Test – Jignesh Desai
ORS and PrecISE – Brian Hwang, Jignesh Desai

Application Support -- Han Gu

Connectivity – Frank Marino

Business – *bizdev... Geralyn Endo, Tom Martin, David Smanik

CDB – Acronyms and Sessions in Production – Ron Miller, Brian Duffy, Nick Piccirillo

Finance – Meinie Cheok, Anna Rodriguez



DTI – Firms Developing Application

- **Sent Simulation Agreement:** Redline Trading
- **Access to Test Environment:** Cutler Group
- **In Member Test:**
- **Certified:**
- **Withdrawn from Development:** XR Securities, LLC

DTI– Connections

- **Completed:**
- **New Business Units:** Deutsche Bank (DBK04E); Lek Securities (LEK04E)

IOSR

- **Completed:** Compass Professional -(CMP08E Gemini)
- **New Business Units:** Credit Suisse (CSB01E)(CSB02E) Gemini permissioning
- **Received LOA:**
- **Waiting for LOA:**
- **Session Decommission:**
- **Certification:**

PrecISE

- **Completed:**
- **New Business Units:**
- **Received PrecISE Docs:**
- **Docs sent:**

House Account Maintenance

- **New Connections Trading:** Compass Professional -(CMP08E Gemini)
- **Changes in Clearing:**
- **New Clearing Accounts:**

Sponsored Customer

- **Received documentation -**
- **Sent out documentation –**

AMR Firms

- **Completed:**
- **Pending:**

