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Regulatory Circular #RG 02-11

February 14, 2002

To: DPM Groups
From: Clearing Procedures Committee
Re: Morning Trade Checking Attendance Schedule

The Clearing Procedures Committee would like to remind all DPMs of the morning trade checking attendance schedule. Please review the attached Regulatory Circular (#01-43) and convey it to your trading floor staff.

Each DPM is required to have a qualified representative present at each of its trading stations during morning trade checking. This individual must be capable of answering questions pertaining to out-trade and resolving out-trades. Copies of out-trade reports in post and station format are available at the trade processing window.

Violations of this requirement may be subject to appropriate remedial or disciplinary actions. Violation will also be brought to the attention of the Clearing Procedures Committee and the MTS Committee.

Questions regarding this notice may be directed to Hugh O'Neill at 786-7952 or Charlie Hullihan at 786-7176.