

The Broker Booth Support SystemTM (BSSS) is a strategic, full-service order management system (OMS) supporting straight-through electronic order processing (STPTM) and reporting for member firms on the floor of the Exchange. With BSSS, a member firm can choose to route orders electronically directly to the trading post or to a floor broker.

NYSE e-Broker[®] is a wireless handheld order-management tool that helps floor brokers trade faster and more efficiently while staying connected to their firms' floor booths and trading desks. With the e-broker brokers can receive and view orders, electronically send orders to the specialist display book, track messages, retrieve market information and carry out various other related transactions.

A new and more powerful order management tool called NYSE Tradeworks is in its pilot stage and is slated to offer full order management capability, the same functionality as BSSS but with greater scalability, rich, new features and an improved user interface.

SMALL ORDER EXECUTION SYSTEM (SOES)

SOES is an automatic order execution for individual traders with orders less than or equal to 1000 shares. The lack of liquidity after the 1987 market crash lead the NASDAQ to implement this mandatory system to provide automatic order execution for individual traders with orders less than or equal to 1000 sharesTM.

There are several restrictions for those who are using SOES, rather than a traditional ECN, to place their ordersTM.

1. Trades may not be in excess of 1000 shares for a particular stock.
2. SOES doesn't not allow trades in stocks that are trading at prices greater than \$250 per share.

TM **STP (Straight Through Processing)**, the ability to process a stock transaction by computer from beginning to end without manual intervention at any of the stages. Presently only a concept, STP represents a major shift from present day T+3 trading towards same day settlement by removing redundant operations and utilizing electronic transfers.
<http://www.stockera.com/straight-through-processing>
http://en.wikipedia.org/wiki/Straight_Through_Processing

TM <http://daytrading.about.com/blogs/worksheets/newSOES1a.htm>

TM <http://www.stockera.com/university/electronictradingtrading1.asp>

Nasdaq Soes Manual

Rosina Ehmann



Nasdaq Soes Manual:

Handbook of Research on Stock Market Globalization Geoffrey Poitras, 2012-01-01 The stock market globalization process has produced historic changes in the structure of stock markets the effects of which are evident throughout the world Despite these transformations there are relatively few sources examining the connections between the globalization process currently underway and previous periods of stock market globalization This seminal volume fills that gap The chapters in the first section look to previous globalization periods through the lens of the corporate economy valuing equities and managed funds Further chapters address current issues such as the social closure of the exchange demutualization and mergers and acquisitions as well as cross listing and liquidity The final chapters consider the regulatory challenges posed by stock market globalization These include the pressures on regulators from rent seeking stock market participants the demise of exchange trading floors and Latin America s stock market Timely multi disciplinary and practical this informative Handbook will be an essential reference for students and scholars of economics finance and accounting finance professionals and security market regulators *Reprint of the Manual* ,1996 **National Association of Securities Dealers Inc.**

Manual National Association of Securities Dealers, 1997-07 Securities Law Handbook Harold S. Bloomenthal, 2008
NASD Manual : Official Publication of the National Association of Securities Dealers ,1994 *SEC Docket* United States. Securities and Exchange Commission, 1996 *Federal Register* ,2008-07-14 NASD Manual National Association of Securities Dealers, 2006 **ISSA Handbook** ,1991 *Nasdaq* Mark Ingebreetsen, 2002 Early in 2000 the Nasdaq stock market surpassed 5 000 the highest level in its 30 year history Experts yelled Buy Pundits predicted the Nasdaq s value would surpass that of the Dow Jones Blue chips were dead Tech was in And everybody seemed to be making money Then the bottom fell out Since then the Nasdaq has taken investors on a rollercoaster ride full of exuberant peaks and heartbreaking valleys floundering around lows that haven t been seen in years Wealth was accumulated and then it vanished Companies sprang up then folded Lives and livelihoods were changed forever But it wasn t the first time The full history of the Nasdaq teems with boom and bust stories What started as a Depression era organization designed to combat stock market fraud and struggled for decades as the black sheep of Wall Street is now vying with the venerated New York Stock Exchange as the global icon of corporate wealth and success Today it faces new challenges in a murky and unpredictable economy BOOK JACKET Title Summary field provided by Blackwell North America Inc All Rights Reserved **Going Public Handbook** Harold S. Bloomenthal, 2000 The Associated Press Broadcast News Handbook Brad Kalbfeld, 1998 **Federal Securities Law Reporter** ,1941 Securities Regulation & Law Report ,2003 Broker-dealer Regulation ,1986

Secrets of the SOES Bandit Harvey I. Houtkin, David Waldman, 1999 Houtkin a 30 year Wall Street veteran reveals his battle tested electronic trading techniques which show how average investors can learn how to utilize direct access electronic trading think like successful traders and make trading an integral part of their lives 20 illustrations **SEC**

Docket ,1996 *Corporate Practice Series* ,2009 **Emerging Trends in Securities Law** Harold S. Bloomenthal,2002
Getting Started in Online Day Trading Kassandra Bentley,2000-08-11 This guide offers an overview of the functional basics and an account of the pros and cons of day trading The author investigates the existing methods and practitioners speculates on the future of day trading and provides a foundation for the beginner

Nasdaq Soes Manual Book Review: Unveiling the Magic of Language

In an electronic era where connections and knowledge reign supreme, the enchanting power of language has become more apparent than ever. Its capability to stir emotions, provoke thought, and instigate transformation is truly remarkable. This extraordinary book, aptly titled "**Nasdaq Soes Manual**," written by a highly acclaimed author, immerses readers in a captivating exploration of the significance of language and its profound impact on our existence. Throughout this critique, we shall delve to the book's central themes, evaluate its unique writing style, and assess its overall influence on its readership.

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