



Information Memo

NYSE Number 16-15
NYSE MKT Number 16-09

Regulatory Bulletin

NYSE Amex RB 16-09
NYSE Arca Equities RB 16-148
NYSE Arca Options RB 16-11

October 6, 2016

To: NEW YORK STOCK EXCHANGE LLC (“NYSE”) and
NYSE MKT LLC (“NYSE MKT”) MEMBERS and MEMBER ORGANIZATIONS
ALL NYSE ARCA, INC. (“NYSE ARCA”) OTP HOLDERS and OTP FIRMS
ALL NYSE AMEX OPTIONS LLC ATP HOLDERS
ALL NYSE ARCA EQUITIES, INC. ETP HOLDERS
(collectively, “Members”)

From: NYSE REGULATION

Subject: **TIPS AND COMPLAINTS GUIDANCE**

The NYSE Exchanges, as self-regulatory organizations, rely on Members and the public (among others) to help protect the fairness and safety of our markets. Among other ways that Members and the public can aid in this effort is by reporting to NYSE Regulation information concerning potential misconduct or complaints regarding trading on the NYSE Exchanges. This type of information may relate to firms, broker-dealers, traders and listed companies, amongst others. NYSE Regulation regularly receives such tips and complaints, and they can serve as useful tools for safeguarding the integrity of the NYSE Exchanges’ markets, which is in the best interest of all Members and the investing public as a whole.

Anyone, including Members, associated persons and/or unassociated individuals—regardless of their membership status with the NYSE Exchanges—wishing to report such information is strongly encouraged to do so in a timely manner. Tips and complaints may be submitted in three ways:

- **Online** by going to the NYSE Exchanges “Contact Us” page at <https://www.nyse.com/contact>. Once on the page, users should select “Regulation/Compliance” and follow the link to “Complaints and Inquiries” where they will be prompted to complete a complaint form;

- **Email** by submitting a message to nysecomplaintsandinquiries@theice.com; or
- **Telephone** by calling the NYSE Exchanges hotline at (212) 656-5846.

Should Members or others have any questions regarding anything contained in this memorandum or regarding reporting information, please submit your question via email to: nysecomplaintsandinquiries@theice.com.