



Regulatory Memo

NYSE RM-25-01
NYSE American RM-25-01
NYSE American Options RM-25-02
NYSE Arca RM-25-01
NYSE Arca Options RM-25-02
NYSE Chicago RM-25-01
NYSE National RM-25-01

January 10, 2025

TO: NEW YORK STOCK EXCHANGE LLC MEMBER ORGANIZATIONS
NYSE AMERICAN LLC MEMBER ORGANIZATIONS
NYSE ARCA, INC. ETP & OTP HOLDERS
NYSE CHICAGO, INC. PARTICIPANTS AND PARTICIPANT FIRMS
NYSE NATIONAL, INC. ETP HOLDERS
(collectively, “Members”)

FROM: NYSE REGULATION

SUBJECT: CHANGES TO FINRA GATEWAY AND REGULATORY NOTIFICATION FORMS

Pursuant to rules of the New York Stock Exchange LLC, NYSE American LLC, NYSE Arca, Inc., NYSE Chicago, Inc., and NYSE National, Inc. (the “Exchanges”) and the Securities Exchange Act of 1934, Members are obligated to provide notification to the Exchanges, their Designated Examining Authorities, and the Securities and Exchange Commission (the “SEC”) when certain financial and operational conditions arise. (For guidance related to submitting required notifications to the SEC, Members should visit the [SEC’s website](#) or contact the SEC.)

FINRA has historically accepted such notifications from Members on behalf of the Exchanges via the Regulatory Notifications application within FINRA Firm Gateway. On January 17, 2025, FINRA will update this application to include four new forms, which Members will be expected to use by March 31, 2025.

For more information about the upcoming changes, Members may visit FINRA’s website at <https://www.finra.org/filing-reporting/regulatory-notifications>. For technical questions regarding FINRA Firm Gateway, Members may contact the FINRA Support Center at 800-321-6273.

Staff Contacts

Questions concerning this Regulatory Memo should be directed to nyse-regulation@nyse.com, or:

- Sarah Cravens, NYSE Regulation, sarah.cravens@nyse.com, 212-656-2325
- Nunu Luo, NYSE Regulation, nunu.luo@nyse.com, 212-656-2655