



Compensation in Relation to Exchange System Failure – Rule 18

Key provisions for submission of this claim form:

- The financial loss is connected to an NYSE system malfunction. The term “system malfunction” means a malfunction of the NYSE’s physical equipment, devices, and/or programming that results in an incorrect execution of an order or no execution of an order that was received in NYSE systems.

Member organizations wishing to submit a Compensation Claim should:

- Orally notify the NYSE Floor Operations department of the suspected system failure as soon as possible, but in all cases prior to the opening of trading on the trading day following the incident giving rise to the claim.
- Submit written notification of the suspected system failure within three (3) business days of incident. The written notification should detail the nature of the loss resulting from the system malfunction, the amount of such loss and any steps taken by the member organization to mitigate or offset the loss incurred.

Please submit all supporting documentation and completed Compensation Claim form:

- in person directly to Floor Operations management on the Executive Ramp, or
- via email, NYSE-Rule18claims@theice.com or
by mail to: NYSE Compensation Claims, 11 Wall Street, Trading Floor, New York, NY 10005, Attn: Ms. Catherine Donnelly

Questions may be directed to:

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COMPENSATION IN RELATION TO EXCHANGE SYSTEM FAILURE CLAIM FORM

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| Point of Contact for your firm | Claimant Name: Member Firm Name: Address: Phone #: e-mail: |
| System(s) Involved: | |
| Trade Date and time of event: | |
| NYSE Staff Person contacted: Date and time of contact: | |
| Date of Claim: | |
| Net Loss: | |
| Order detail (List additional orders if any on back of this form) | BBSS Agency / Display Book / Other _____ Firm: Branch: Sequence: Turnaround number: Time: Buy / Sell: Quantity: Security: Price: Reports received: |
| Covering trade detail | Date: Turnaround number: Time: Price(s): |

| | |
|-------------------------|--|
| State reason for claim: | |
| Additional Order detail | BBSS Agency / Display Book / Other _____ Firm: Branch: Sequence: Turnaround number: Time: Buy / Sell: Quantity: Security: Price: Reports received: |
| Covering trade detail | Date: Turnaround number: Time: Price(s): |
| Additional Order detail | BBSS Agency / Display Book / Other _____ Firm: Branch: Sequence: Turnaround number: Time: Buy / Sell: Quantity: Security: Price: Reports received: |
| Covering trade detail | Date: |

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| | Turnaround number: Time: Price(s): |
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