



TRADE REPORTING FACILITY

Date: December 2, 2013

Audience: FINRA/NYSE Trade Reporting Facility® Customers

Subject: CMT for FINRA/NYSE TRF® Outage Recap and Redeployment Schedule

Summary:

Information security is very important to ICE | NYSE and we take seriously any situation where there is even a theoretical potential for a participant's trading information to be accessed by another participant either inadvertently or maliciously.

On November 5th, 2013 a potential security issue was uncovered with the Client Management Tool (CMT) for FINRA/NYSE TRF®, where clients viewing their corrections of trade reports from a secondary page might be able to view corrected trade reports of other firms. That security issue was eliminated that evening, but led to our decision to shut down access on [November 11, 2013](#) to review this issue and the overall security of CMT.

Our security review of CMT has now been completed and CMT for FINRA/NYSE TRF® will again be available to participants on **Tuesday, December 3rd**

Please note the following changes in CMT functionality, pending further software updates:

- Active Read Only TRF Users will not initially be re-permissioned
- TRF Users will be temporarily restricted from resubmitting rejected reports.
- Users who have not accessed the system in the last 90 days will not be automatically re-permissioned.

ICE | NYSE apologizes for the delay in bringing CMT back on line and asks for your understanding as we work to insure that the system we provide to you has the best possible security features.

Customers with additional questions may contact Chris Mazzacano at 312-442-7053 (cmazzacano@nyx.com), or Client Relationship Services (crs@nyx.com) at 888-689-7739 (Option 3).

Additional Contact Information:

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