



## INFORMATIONAL MEMO

NYSE IM-15-13

December 22, 2015

**To: ALL NYSE, NYSE MKT, NYSE ARCA MEMBERS and MEMBER ORGANIZATIONS**

**From: NYSE REGULATION and NYSE CLIENT RELATIONSHIP SERVICES**

**Subject: NYSE REGULATION JANUARY 2016 LAUNCH OF CERTAIN SURVEILLANCE, INVESTIGATION, AND ENFORCEMENT FUNCTIONS CURRENTLY PERFORMED BY FINRA INFORMATION MEMO #4**

**PURPOSE**

This memo serves as a follow up notice to Information Memo Number 15-6 (Information Memo #1) and Information Memo Number 15-7 (Information Memo #2) with respect to the January 1, 2016 transfer of certain NYSE market specific surveillances, investigations, and enforcement functions currently performed by Financial Industry Regulatory Authority (FINRA) to NYSE Regulation (NYSER).

Given NYSE's transfer of surveillances and other functions related to the regulation of NYSE Markets, certain email addresses currently utilized by members, member organizations, and permit holders may change depending upon the reason for communication. Effective January 4, 2016 members and member organizations should start using the new e-mail addresses listed below for their designated purpose.

## NYSE Regulation Contact Information

New email	Purpose	For use by	Old email
mmquoterelief@theice.com	Requests for Market Maker Quote Relief	NYSE ARCA Equities Members	rto@finra.org
		NYSE ARCA Options OTP Holders	arcareg@finra.org
		NYSE AMEX Options ATP Holders	amexreg@finra.org
nyseregulation@theice.com	General Inquiries	All NYSE, NYSE MKT, NYSE AMEX, NYSE ARCA Options, and NYSE ARCA Equities Members	ofsu@finra.org
			rto@finra.org
oxappeal@nyse.com	Appeal of Equities Clearly Erroneous Execution and Options Obvious Error Rulings	All NYSE, NYSE MKT, NYSE AMEX, NYSE ARCA Options, and NYSE ARCA Equities Members	rto@finra.org
			oxappeal@nyse.com

For additional information contact NYSE Regulation via email to [nyseregulation@theice.com](mailto:nyseregulation@theice.com) or by phone to (212) 656-5102.