



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

FROM: NYSE REGULATION

SUBJECT: NYSE REGULATION JANUARY 1, 2016 LAUNCH OF CERTAIN SURVEILLANCE, INVESTIGATION, AND ENFORCEMENT FUNCTIONS CURRENTLY PERFORMED BY FINRA-
ELECTRONIC DOCUMENT SUBMISSION AND MEMBER OUTREACH (INFORMATION MEMO #2)

I. PURPOSE

This memo serves as a follow up notice to Information Memo Number 15-6 (Information Memo #1) issued on November 4, 2015 with respect to the January 1, 2016 transfer of certain surveillance, investigations, and enforcement functions currently performed by Financial Industry Regulatory Authority (FINRA) to NYSE Regulation (NYSER). For ease of reference, Information Memo #1 is available at (<https://www.nyse.com/publicdocs/nyse/markets/nyse/rule-interpretations/2015/NYSE-15-6.pdf>).

In relation to the regulation of rules that specifically govern the NYSE's equities and options markets, members and member organizations may be required to submit data to NYSER as part of a regulatory request for information. This memo is intended to do several things. First it is to advise members of the methods available for use in transmitting certain documentation to NYSER. The second is to provide membership with NYSER contact information in order to address member inquiries and requests. Lastly, the memo includes upcoming Webinar information sessions available to members in order to provide more details about the new NYSER program.

II. ELECTRONIC DOCUMENT SUBMISSION

Axway Document Portal – NYSER may request members to provide, among other things, certain trade-related data including trade blotters, confirmation statements, copies of electronic communications, and policies and procedures. In order to allow members to respond efficiently to regulatory inquiries, NYSER has employed a utility called "Axway" for use in transmitting data via secure FTP. This utility is used for its capacity and security attributes and allows members to initiate the document submission process by uploading files via sftp/scp.

Given that certain NYSE members may not currently use Axway, testing between members/member organizations and NYSE technology is important. NYSE Regulation is requesting all members and member organizations to provide NYSER with the appropriate technology or operations contact(s) on the attached FTP request questionnaire. The information should include member IP addresses and regulatory and technology representatives with whom the NYSE technology team may contact to set up connections and testing. The form should be returned by December 1, 2015 to NYSERegulation@theice.com.

Electronic Blue sheets - When submitting Blue Sheets in response to data requests by NYSER, members may use the Axway utility or an alternative data transmission mechanism. The existing requestor codes of “A” for the NYSE, “B” for NYSE Amex/MKT, and “E” for NYSE Arca should be used. Members are reminded to use the standard electronic Blue Sheet format and include the correct reference (matter) number articulated in the original request from NYSER. For additional information and to arrange testing contact NYSE Operations support via email to GDSposttradeappsupport-usa@nyx.com or call (212) 323-8527.

III. MEMBER OUTREACH

Webinar Registration Information

Beginning the week of November 16th, NYSER will conduct a series of member webinars designed to provide more information about its new regulatory program. The dates and times are as follows:

Webinar session #1 - Monday November 16, 2015 at 4:30 EST Go to <https://egovdirect.webex.com/egovdirect/k2/j.php?MTID=t1b875a4ae525c241e4f2eb446664777b>

Webinar session #2 - Wednesday November 18, 2015 at 2:30 EST Go to <https://egovdirect.webex.com/egovdirect/k2/j.php?MTID=te9369af22e70d58d77c83b6b280eda85>

Webinar session #3 - Monday November 30, 2015 at 4:30 EST Go to <https://egovdirect.webex.com/egovdirect/k2/j.php?MTID=t964cac8a9cf95e729448b5f605da98ff>

Registration instructions:

To register, click on the links adjacent to one of the dates above and login instructions will be provided via email from Messinger@webex.

Please note that not all firms’ Information Security protocols will allow the download option for the Cisco Webex program. The alternative is to run it as a temporary file by clicking the “Run temporary file” option on the bottom of the welcome page and log in according to the instructions provided.

IV. NYSE Regulation Contact Information

NYSE is committed to maintaining an ongoing dialogue with members and addressing member inquiries in a timely manner. To this end, NYSE created a dedicated email address (NYSERegulation@theice.com) and a dedicated phone number at (212) 656-5102 to serve as an alternate means of communication.

NYSE Regulation FTP Request Form

Instructions								
<p>Please complete this form and return to NYSERegulation@theice.com.</p> <p>Process Overview:</p> <ul style="list-style-type: none"> • NYSE Regulation reviews form for completeness. • NYSE Regulation distributes form to CRS@nyse.com to compile request for processing to internal teams. • Tickets Opened. <ul style="list-style-type: none"> ○ Axway Admins create login credentials. ○ Information Security whitelists IP address(es). ○ Axway Admins verify connectivity over private network, tests login. ○ CRS supplies login credentials. ○ Member validates login credentials, sends a test file to Axway directory. ○ Axway Admins validate test file. • Request Complete. • For future technical support, post setup, please contact ProdSupport-NYSEFTP@theice.com. 								
Member Information								
	Firm Name:			CRD#:				
	Business Contact:							
	Email:		Phone					
	Technical Contact:							
	Email:		Phone					
	Regulatory Inquiry Contact:							
	Email:		Phone					
NYSE Technical Information								
	Axway Production:	Axway DR:						
	mftus.nyx.com 159.125.78.129	mftusdr.nyx.com 162.68.208.14						
	NYSE will supply the Member with login credentials to the Axway server.							
	NYSE will provide the Member with our SSH Public Key; our default SSH Key is 2048-bit DSA							
Member Setup Options								
	Please supply incoming server and IP information, to be whitelisted with NYSE Information Security.							
	FTP Server Name:							
	Incoming IP Address(es):							
NYSE Regulation Information Memo								
	https://www.nyse.com/publicdocs/nyse/markets/nyse/rule-interpretations/2015/NYSE-15-6.pdf							
	To opt into NYSE Regulation notifications: https://www.nyse.com/subscriptions							