



**April 12, 2016**

**TO:** NYSE and NYSE MKT TRADING FLOOR MEMBER ORGANIZATION  
**FROM:** NYSE REGULATION & CLIENT RELATIONSHIP SERVICES  
**SUBJECT:** NEW REGISTRATION AND EXAM REQUIREMENTS FOR FLOOR CLERKS

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## **I. Background**

NYSE and NYSE MKT Equities (“the Exchanges”) have amended the registration and examination requirements applicable to NYSE Trading Floor Clerks. NYSE Trading Floor Clerks are individuals handling orders on behalf of a NYSE and NYSE MKT Equity Member Organization.

## **II. What’s Changing?**

The Trading Assistant (“TA”) registration has been replaced with the Floor Clerk – Equities (“FL”) registration. The Series 25 exam has been eliminated. The Series 19 exam has become the pre-requisite for Floor Clerks. The Series 15 exam has been renamed as the Series 19 exam.

NYSE Client Relationship Services will be making registration changes for NYSE and NYSE MKT Equities on Web CRD to reflect the appropriate registrations. Member Organizations do not need to take any action in this regard.

As of 4/18/2016, NYSE Floor Individuals will require the below registrations:

- Floor Employees – FE
- Floor Clerks (formerly Trading Assistants) – FL
- Members – ME
- Substitute Members – ME and FL (FE will be removed)

Your registration contacts may receive notifications generated from Web CRD regarding these changes. If there are any questions please reach out to [crs@nyse.com](mailto:crs@nyse.com).

## **III. What is required Going Forward?**

To qualify as a new Floor Clerk “FL”, an individual must:

- Complete the Member / Floor Clerk Application
- Request the “FL” registration on Web CRD
- Complete the NYSE Floor Orientation Program and Series 19 exam or receive a waiver (Individuals that have previously passed the Series 25 or 15 and have been an active Floor Member or Clerk in the past 2 years are not required to take the Series 19)
- Have fingerprints posted to Web CRD and cleared with your firm

To qualify as a new Member/Substitute Member “ME”, an individual must:

- Complete the Member / Floor Clerk Application
- Request the “ME” registration on Web CRD (and also request the “FL” registration to qualify as a Substitute Member)
- Complete the NYSE Floor Orientation Program and Series 19 exam or receive a waiver (Individuals that have previously passed the Series 15 and have been an active Floor Member or Clerk in the past 2 years are not required to take the Series 19)

- Have fingerprints posted to Web CRD and cleared with your firm

To qualify as a new Floor Employee “FE”, an individual must;

- Complete the Floor Employee Application
- Request the “FE” registration on Web CRD
- Have fingerprints posted to Web CRD and cleared with your firm

Please note: a Floor Employee (“FE”) is any individual that requires access to the NYSE and NYSE MKT Equity Trading Floor for non-trading activity. For individuals who require access to the trading floor and are not Floor Clerks, they will register as FE to gain access.

#### **IV. Staff Contacts**

Questions related to this Memo may be addressed to Client Relationship Services at [crs@nyse.com](mailto:crs@nyse.com) or 212.896.2830 or Michelle Liguori of NYSE Floor Operations at 212.656.5388 or [michelle.liguori@nyse.com](mailto:michelle.liguori@nyse.com).