



## Information Memo

**NYSE Number 17-07  
NYSE American Number 17-04**

**August 22, 2017**

**TO:** NYSE TRADING FLOOR AND NYSE AMERICAN MEMBER ORGANIZATIONS  
**FROM:** NYSE REGULATION & CLIENT RELATIONSHIP SERVICES  
**SUBJECT:** ELIMINATION OF FLOOR REGISTRATION CATEGORIES ON NYSE AMERICAN

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### **I. Background**

Since the launch of NYSE American (“the Exchange”) on July 24, 2017, the Exchange operates on a fully electronic basis and as such no longer requires individuals currently registered on both NYSE and NYSE American in Web CRD as Members, Floor Clerks or Floor Employees to be registered with NYSE American.

### **II. What’s Changing?**

The Exchange is eliminating the below floor registration categories on NYSE American which are no longer required:

- Floor Employees – FE
- Floor Clerks – FL
- Members – ME

Your NYSE floor related registrations will remain unchanged.

It is expected that these changes will be reflected on Form’s U4 and U5 via Web CRD on September 30<sup>th</sup>, 2017.

In the meantime, NYSE Client Relationship Services will be administratively removing the relevant registration categories for NYSE American on Web CRD by August 24<sup>th</sup>. Member Organizations do not need to take any action in this regard.

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?**

Commencing immediately, NYSE Members, Floor Clerks and Floor Employees are no longer required to register on both NYSE and NYSE American. It is sufficient for FE, FL and ME to register on NYSE only.

### **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 option 5 or Michael Fitzpatrick at 212.656.2092 or [michael.fitzpatrick@theice.com](mailto:michael.fitzpatrick@theice.com)