

2018 Listed Company Regulation Guidance Memo

Provision of Physical Copies of SEC Filings to the Exchange

FEBRUARY 20, 2018

Certain SEC filing forms in relation to changes in ownership of securities (including Forms 3, 4, and 5 and Form 144) include an instruction that a copy of the completed form must be provided to the national securities exchange on which the applicable securities are listed, if any.

Many people filing these forms comply with this instruction by sending physical copies of the filed documents to the NYSE.

Please note that [it is no longer necessary](#) to provide the Exchange with physical copies of any documents that have been filed via EDGAR, regardless of whether the form instructions specify such a requirement.

The NYSE obtained no-action relief from the SEC on its own behalf, and that of its listed companies, providing that any documents filed under Exchange Act rules that are submitted to the SEC via EDGAR do not need to be separately submitted to the NYSE.

See attached letter dated July 22, 1998 from Ann M. Krauskopf, Special Counsel, Division of Corporation Finance, SEC, and Howard L. Kramer, Senior Associate Director, Office of Market Supervision, Division of Market Regulation, SEC, to Michael J. Simon, Milbank, Tweed, Hadley & McCloy.

Please contact the NYSE if you have further questions at (212) 656-5846.