CTA
Consolidated Tape Association

Nonprofessional User Certification ("UCert") FAQs

1. What is the Nonprofessional User Certification ("UCert") Tool?
UCert is a proactive compliance tool that may be used by a Vendor to compare the Vendor's Nonprofessional Subscriber database with the FINRA Central Registration Depository ("CRD®") database as a means of identifying whether individuals included on the Vendor's database are registered with FINRA.

2. Why is CTA providing the UCert Tool?
Vendors are required to verify the status of any Subscriber applying to receive market data at the Nonprofessional Subscriber rate before providing data to the Subscriber at that rate. CTA is offering the UCert Tool as an aid Vendors may decide to use in carrying out their verification efforts. Use of the UCert Tool, however, will not in itself fulfill a Vendor's verification obligation. A Subscriber still may not qualify for Nonprofessional status even if the Subscriber is not registered with FINRA, and if NYSE finds that the Vendor has incorrectly qualified a Professional Subscriber as a Nonprofessional for some other reason the Vendor will remain liable for retroactive fees billed by NYSE for the Subscriber at the Professional rate.

3. Who may apply for the UCert's Vendor Inquiry service?
Only Vendors who are approved to redistribute CTA data to Nonprofessionals are eligible for this service.

4. Are file uploads secure?
Yes, all UCert file transmissions are conducted via a File Managed Transfer ("MFT") protocol, which requires a User Name, Password and a previously approved IP address in advance of any file transmission.

5. Does NYSE archive/save Nonprofessional files that are uploaded by the Vendor?
Based on regulatory requirements all files processed by UCert are retained, but will not be used for Compliance audit purposes.

6. Can a firm be audited based on UCert's results?
No, UCert results are not reviewed/monitored by the Compliance Team and do not influence the audit selection process.

7. Can a firm under NYSE Compliance Audit use UCert's service?
If a firm is currently under audit by NYSE, they cannot use UCert during that time period. Once the audit is formally complete, then the firm will be able to use the service.

8. How does a Vendor apply for the UCert's Vendor Inquiry Service?

A Vendor can apply for this service by sending an email to UCertCompliance@nyse.com. Additional details, instructions and documentation can be found at https://www.ctaplan.com/ucert

9. Are there specific data file formatting requirements for this service?

Yes, UCert files must be in a pipe delimited (.dat) format with specific column header requirements. For full details please refer to https://www.ctaplan.com/ucert

10. Is there a limitation on file size for upload?

No, there are no limitations on size.

11. Can a previously established NYSE MFT account be used for this service?

No, if the existing MFT account was created for a different business purpose.

12. What is the process if the file upload fails?

The Vendor will be notified via e-mail that the file failed (e.g., file does not meet requirements). Vendor will have to correct and resubmit for processing.

13. What is the processing time for UCert?

It all depends on the amount of data submitted, and the number of Vendor requests already in the queue. The processing commences once UCert deems the file submission/formatting to be correct.

14. Can I upload multiple files at the same time or submit a new file before the receipt of the previous submission's output?

No, a subsequent file should be uploaded only after the receipt of the output report from the previous submission.

15. What should I expect to see on the UCert output file?

There are three different output reports that Vendors can potentially receive as follows:

> **Output with CRD Matches:**
> The UCert output report will include the following information:
> - User Id
> - CRD Id
> - Name & Address Score
>
> **Output Denoted As Reject:**
> This file will be generated when the mandatory thirty six (36) columns are not included in the original file upload.
>
> **Output with no CRD Matches:**
> The UCert output report will be blank, containing only the report headers.

16. How long will the UCert output be available for pickup in MFT?

The UCert output file is available for fourteen (14) days from the e-mail notification for file pickup. Should the file not be picked up from the MFT pickup folder in this timeframe, it will be automatically deleted.

17. Who do I contact for support/questions?

For assistance e-mail UCertCompliance@nyse.com, including your User Name and the specific nature of your issue. E-mails will be responded to within two (2) business days.