CTA

Consolidated Tape Association

Instructions for Requesting UCert's Vendor Inquiry Service

Step 1: Vendor Request

Vendors who are interested in the UCert's Vendor Inquiry Service must send an e-mail to UCertCompliance@nyse.com, requesting an approval to use the tool. The e-mail must include the Vendor's Name and the ten digit NYSE Account ID (as it appears on the Vendor's invoice).

Step 2: NYSE Approval

NYSE will review the request. The vendor will receive an e-mail confirming eligibility for the service. Instructions will be provided for the creation of a Managed File Transfer ("MFT") account, which is required for the Vendor Inquiry Service. The Vendor must complete and return the MFT Request Form via the UCertCompliance@nyse.com e-mail to access the tool.

Step 3: MFT Account Creation

Upon receipt of the completed MFT Form, NYSE will provide the log in credentials to the Vendor. The Vendor will receive two separate e-mails from UCertCompliance@nyse.com; one e-mail includes the user name, and the other e-mail the password.

The Vendor is required to confirm access to the MFT account within 48 hours via reply e-mail to UCertCompliance@nyse.com.

Once the MFT account has been established, the Vendor may proceed to upload their nonprofessional file, following the data file requirements as outlined in the document located at https://www.ctaplan.com/ucert. Any file format inconsistent with the requirements will delay the service.