

Administrator Disclosure Form

**New York Stock Exchange LLC**

- Is the Administrator an affiliate of or affiliated with any Participant?

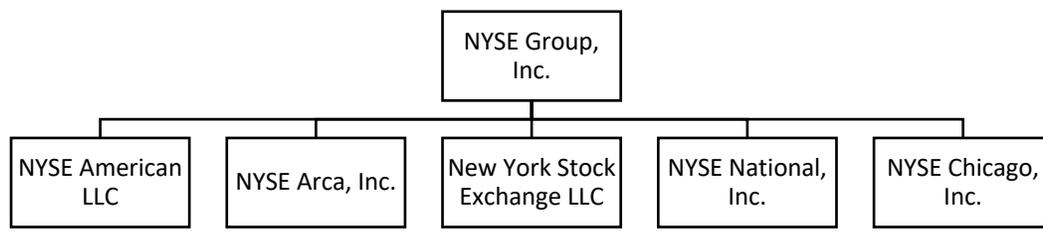
Yes

- If yes, disclose the Participant(s) and describe the nature of the affiliation. Include an entity-level organizational chart depicting the Administrator and its affiliates.

Participant New York Stock Exchange LLC (“NYSE”) is the network administrator for CTA and CQ Network A under the CT/CQ Plans.

Participant NYSE American, LLC (“NYSE American”) – an indirect affiliate of Participant NYSE – is the network administrator for CTA and CQ Network B under the CT/CQ Plans. NYSE has assumed this responsibility on behalf of NYSE American.

Participants NYSE Arca, Inc. (“NYSE Arca”), NYSE Chicago, Inc. (“NYSE Chicago”), and NYSE National, Inc. (“NYSE Chicago”), are indirect affiliates of Participants NYSE and NYSE American.



- Provide a narrative description of the functions directly performed by senior staff, the administrative services manager, and the staff that reports to that manager (collectively, the “Plan Administrator”).

The Plan Administrator directly performs the operational activities of CT/CQ data products, including contracting, usage reporting, entitlement reviews of CT/CQ data subscribers, and termination of data services. In addition, the Plan Administrator maintains the CTAPLAN.com website, hosts quarterly meetings of the Operating Committee, and provides data analysis as requested by the Operating Committee. The Plan Administrator also oversees finance, billing, tax, and audit services concerning CT/CQ participants and data vendors and subscribers.

- Does the Plan Administrator provide any services for any Participant’s Proprietary Market Data products?

Yes

- If yes, what services?

The Plan Administrator provides operational support for the Proprietary Market Data Products of Participants NYSE, NYSE American, NYSE Arca, NYSE Chicago, and NYSE National, including contracting, usage reporting, entitlement reviews of data subscribers, and termination of data services. The Plan Administrator also oversees finance, billing, tax, and audit services concerning vendors and subscribers of these Proprietary Market Data products.

- Does the Plan Administrator have any profit or loss responsibility, or licensing responsibility, for a Participant’s Proprietary Market Data products or any other professional involvement with persons the Administrator knows are engaged in the Participant’s Proprietary Market Data business?

The Plan Administrator does not have any profit or loss or commercial licensing responsibilities for Proprietary Market Data.

- If so, describe.

The services that the Plan Administrator provides for Proprietary Market Data products of Participants NYSE, NYSE American, NYSE Arca, NYSE Chicago, and NYSE National are described above.

- List the policies and procedures established to safeguard confidential Plan information that is applicable to the Plan Administrator.

CTA and CQ Plans Administrator and Processor Confidential Information Policy, dated September 1, 2020

- Does the Administrator, or its representatives, have additional relationships or material economic interests that could be perceived by a reasonable objective observer to present a potential conflict of interest with the representatives’ responsibilities to the Plan?

No

- If so, provide a detailed narrative discussion of all material facts necessary to identify the potential conflicts of interest and the effects they may have on the Plan.

N/A