

## Advisor Disclosure Form

The Operating Committees of the Consolidated Tape Association (“CTA”) and Unlisted Trading Privileges (“UTP”) Plans, charged with overseeing the Plans, are assisted by an Advisory Committee composed of individuals who represent particular types of financial services firms or actors in the securities market, or who were selected by Plan Participants<sup>1</sup> to be members of the Advisory Committee. To enhance transparency in Plan governance, the members of the advisory committee submit the following voluntary disclosures.

The Advisors intend to update these disclosures annually, or whenever there is a material change to any disclosure, whichever is sooner.

Advisor Name	Firm(s) associated with Advisor	Date of Disclosure
Patti Sachs	Citi	3.20.2019
1.a	Advisor’s Title	A brief description of Advisor’s role within the firm
	Director	Global Head of Market Data Compliance and Exchanges -- Business Expense Transparency group. Oversee market data compliance and manage the data exchange relationships across businesses.
1.b	Does the Advisor have responsibilities related to the use or procurement of market data?	Does the Advisor have responsibilities related to the firm’s trading or brokerage services?
	No <input type="checkbox"/>	Yes <input checked="" type="checkbox"/>
		No <input checked="" type="checkbox"/>
		Yes <input type="checkbox"/>
2	Does the Advisor’s firm use SIP and/or exchange Proprietary Market Data products?	
	No <input type="checkbox"/>	Yes <input checked="" type="checkbox"/>
3	Does the Advisor’s firm have a beneficial ownership interest of 5% or more in Participant(s)?	If “Yes”, list the Participant(s). This disclosure requirement shall not apply to short-term positions in publicly-traded stock
	No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/>
		Name of Participant(s)

<sup>1</sup> “Participants” are the national securities associations and national securities exchanges that submit trades and quotes to the Plans and are members of the Plans’ Operating Committees.

4	Does the Advisor actively participate in any litigation against the SIP? (An Advisor “actively participates” in litigation if the Advisor plays a substantial, individual role in such litigation, such as counsel, expert witness, or consultant.)				
	<table border="0"><tr><td data-bbox="142 207 991 256" style="text-align: center;">No</td><td data-bbox="991 207 1995 256" style="text-align: center;">Yes</td></tr><tr><td data-bbox="142 256 991 321" style="text-align: center;"><input checked="" type="checkbox"/></td><td data-bbox="991 256 1995 321" style="text-align: center;"><input type="checkbox"/></td></tr></table>	No	Yes	<input checked="" type="checkbox"/>	<input type="checkbox"/>
No	Yes				
<input checked="" type="checkbox"/>	<input type="checkbox"/>				