

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 Participants¹ 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
Thomas J. Jordan	Jordan & Jordan	3/30/19

1.a	Advisor’s Title	A brief description of Advisor’s role within the firm
	President & CEO, Jordan & Jordan	As CEO of J&J, participates in setting and approval of strategy and execution.

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	Yes	No	Yes
	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

2	Does the Advisor’s firm use SIP and/or exchange Proprietary Market Data products?	No	Yes
		<input checked="" type="checkbox"/>	<input 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	Yes	Name of Participant(s)
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	

¹ “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.)

No

Yes
