Participant Disclosure Form

The Operating Committees of the Consolidated Tape Association ("CTA") and Unlisted Trading Privileges ("UTP") Plans, charged with overseeing the operations of the CTA and UTP Plans, are composed of the national securities associations and national securities exchanges that submit trades and quotes to the Plans, known as the Plan "Participants."[1] The Participants work through designated representatives, or alternate representatives, who are authorized to act on the Participants' behalf. To enhance transparency in Plan governance, the Participants submit the following voluntary disclosures.

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

Participant Firm Name	Date of Disclosure
NYSE, NYSE American, NYSE Arca, NYSE Chicago, NYSE National	14-Mar-2019

1.a	Is the Participant's firm for profit or not-for-profit?		If the Participant's firm is for profit, is it publically or privately owned?	
	Not for Profit	For Profit	Public	Private
	☐	☑	☑	☐

1.b	If privately owned, please list any owner with an interest of 5% or more of the Participant, where to the Participant's knowledge, such owner, or any affiliate controlling, controlled by or under common control with the owner, subscribes, directly or through a third-party vendor, to SIP and/or exchange Proprietary Market Data products.	

2.	Does the Participant firm offer real-time proprietary equity market data that is filed with the SEC ("Proprietary Market Data")?		If "Yes", is there a charge for such Proprietary Market Data offerings?	
	No	Yes	No	Yes
	☐	☑	☐	☑

3	Please provide the names of the representative and any alternate representatives designated by the Participant firm who are authorized under the Plans to vote for the Participant. Also provide a narrative description of the representatives' roles within the Participant organization, including the title of each individual as well as any direct responsibilities related to the development, dissemination, sales or marketing of the Participant's Proprietary Market Data, and the nature of those responsibilities.		
	Jon Herrick	Head of Equities	Manage NYSE equity transaction business
	Proprietary Market Data responsibility type		
	☐ Development of Market Data and related policies	☐ Sales	
	☐ Dissemination of Market Data	☐ Marketing	

[1] The list of UTP Plan Participants can be found here (http://www.utpplan.com/participants), and the list of CTA Plan Participants can be found here (https://www.ctaplan.com/index).

Names of designated alternate representative	Title	Description of role
Karen Lorentz	Director, US Equities	Supports NYSE Group participation in NMS Plans, industry testing and other matters pertaining to NYSE equities trading.

Proprietary Market Data responsibility type				Nature of Proprietary Market Data responsibilities
☐	Development of Market Data and related policies	☐	Sales	
☐	Dissemination of Market Data	☐	Marketing	