

SROs Select Short List Bids for the Consolidated Audit Trail

JULY 1, 2014 – The national securities exchanges and FINRA (collectively, the self-regulatory organizations, or SROs) have selected six bids from the list of ten RFP responses that were submitted to build and maintain the Consolidated Audit Trail (CAT). The six bids that have been selected for shortlisting are listed below in alphabetical order:

- AxiomSL and Computer Sciences Corporation (CSC)
- EPAM Systems, Inc.
- Financial Industry Regulatory Authority (FINRA)
- J. Streicher Analytics on behalf of the CATPRO Consortium: Hewlett Packard, Booz Allen, Buckley Sandler
- SunGard Data Systems Inc.
- Thesys Technologies, LLC

“We would like to thank all parties who submitted a bid for this important effort,” said John Zecca, Senior Vice President of NASDAQ on behalf of the SROs. “We will continue to consult with industry representatives and the trading community to develop the infrastructure to support this regulatory system, which is being designed to enhance the oversight of our markets.”

Additional information, including the planned timeline for the CAT NMS Plan is available at www.catnmsplan.com.

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About the Consolidated Audit Trail

Rule 613, adopted by the Securities and Exchange Commission (SEC) in July 2012, requires the SROs to submit to the SEC a NMS Plan (CAT NMS Plan) to create, implement, and maintain the CAT.

The CAT will be an audit trail that will allow regulators to more efficiently and accurately track activity in NMS securities throughout the U.S. markets. The purpose of the CAT NMS Plan is to create a central repository for the SROs and the SEC to perform surveillance on order event data, linked to customer and account information, and to permit regulators to efficiently and effectively perform market reconstructions. When complete, the CAT will be the world’s largest data repository for securities transactions tracking approximately 58 billion records of orders, executions, and quote life-cycles for equities and options markets on a daily basis.

The SROs are in the process of jointly developing the CAT NMS Plan pursuant to Rule 613. Additional information about the CAT NMS Plan can be found at www.catnmsplan.com.

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CAT NMS PLAN PARTICIPANTS:

BATS Exchange, Inc.

BATS Y-Exchange, Inc.

BOX Options Exchange, LLC

Chicago Board Options Exchange, Inc.

C2 Options Exchange, Inc.

Chicago Stock Exchange, Inc.

EDGA Exchange, Inc.

EDGX Exchange, Inc.

Financial Industry Regulatory Authority, Inc.

International Securities Exchange, LLC

ISE Gemini, LLC

Miami International Securities Exchange LLC

The NASDAQ Stock Market LLC

NASDAQ OMX BX, Inc.

NASDAQ OMX PHLX LLC

National Stock Exchange, Inc.

NYSE Group, Inc.

NYSE MKT, LLC

NYSE Arca, Inc.