

Self-Regulatory Organizations File CAT NMS Plan with the SEC

September 30, 2014 – Washington, DC – The US national securities exchanges and the Financial Industry Regulatory Authority, Inc. (FINRA), collectively, the self-regulatory organizations, or SROs, today filed with the Securities and Exchange Commission (SEC) a national market system (NMS) plan to govern the creation, maintenance and implementation of the Consolidated Audit Trail (CAT) and Central Repository. Submission of the plan meets the deadline established by the SEC. The CAT NMS Plan is subject to review and approval by the SEC following public comment before it becomes effective.

The SROs plan to establish a limited liability company, CAT NMS, LLC, to conduct activities related to the production of the CAT. The company agreement filed today establishes the policies and procedures to create and maintain the CAT and is a National Market System Plan as defined in SEC Rule 600(b)(43). The SROs anticipate acting as members of the LLC that will create, implement and maintain the CAT and the Central Repository pursuant to SEC Rule 608 and SEC Rule 613.

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.

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.; New York Stock Exchange, LLC; NYSE MKT, LLC; and NYSE Arca, Inc.